DOCUMENT RESUME

ED 084 713 EA 005 703

TITLE	Education Legislation, 1973. Hearings Before the Subcommittee on Education of the Committee on Labor and Public Welfare, United States Senate, Ninety-third Congress, First Session, on S.1539. To Amend and Extend Certain Acts Relating to Elementary and Secondary Education Programs, and for Other Purposes and Related Bills. Part 1.
INSTITUTION	Congress of the U.S., Washington, D.C. Senate Committee on Labor and Public Welfare.
PUB DATE	16 Apr 73
NOTE	403p.; Related documents are EA 005 704 through 707
EDRS PRICE	MF-$0.65 HC-$16.45
DESCRIPTORS	Academic Achievement; *Compensatory Education; Educational Research; Elementary Education; *Federal Aid; *Federal Legislation; National Surveys; Remedial Arithmetic; Remedial Reading Programs; *Revenue Sharing; Secondary Education

ABSTRACT

This legislative document contains texts of a bill to amend certain Titles of the Elementary and Secondary Education Act of 1965 and an Administration sponsored bill to consolidate certain categorical aid programs into revenue sharing. Also included is a transcript of the hearing in which the administration representatives presented their bill. The balance of the pamphlet consists of a summary and review of the evidence on the effectiveness of compensatory education. (Pages 220-226 and 388-390 may reproduce poorly.) (JF)

ED 084712

EDUCATION LEGISLATION, 1973

HEARINGS
BEFORE THE
SUBCOMMITTEE ON EDUCATION
OF THE
COMMITTEE ON
LABOR AND PUBLIC WELFARE
UNITED STATES SENATE
NINETY-THIRD CONGRESS
FIRST SESSION
ON

S. 1539

TO AMEND AND EXTEND CERTAIN ACTS RELATING TO
ELEMENTARY AND SECONDARY EDUCATION PROGRAMS,
AND FOR OTHER PURPOSES
AND RELATED BILLS

PART 1

APRIL 16, 1973

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
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Printed for the use of the Committee on Labor and Public Welfare

U.S. GOVERNMENT PRINTING OFFICE
97-457 O WASHINGTON : 1973

EA 005 703

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CONTENTS

Page

Text of:
- S. 1539 — 2
- S. 1319 — 121

CHRONOLOGICAL LIST OF WITNESSES

Monday, April 16, 1973

Weinberger, Hon. Caspar W., Secretary, Department of Health, Education, and Welfare, accompanied by Stephen Kurzman, Assistant Secretary for Legislation; Sidney P. Marland, Assistant Secretary for Education; and John Ottina, Commissioner of Education-designate — 153

STATEMENTS

Weinberger, Hon. Caspar W., Secretary, Department of Health, Education, and Welfare, accompanied by Stephen Kurzman, Assistant Secretary for Legislation; Sidney P. Marland, Assistant Secretary for Education; and John Ottina, Commissioner of Education-designate — 153

ADDITIONAL INFORMATION

Articles, publications, etc.:
- Better Schools Act, programs to be consolidated with passage of — 370
- "The Effectiveness of Compensatory Education," summary and review of the evidence, published by Department of Health, Education, and Welfare, April 1972 — 167
- "12 Governors Seek Revenue Sharing to Bolster State Education Programs," news release from the Education Commission of the States, Denver, Colo., January 25, 1973 — 377

Selected tables:
- Comparison 1972 versus educational revenue sharing 1974 — 354
- Education of disadvantaged, allocations for — 359
- 1972 appropriations and the fiscal year 1973 budget on budgeted items included under the 1973 BSA bill, as compared with the 1972 ERS bill — 388
- Title I low-income children (under $2,000 on 1960 census or over $2,000 on AFDC (1973)) — 358

EDUCATION LEGISLATION, 1973

Elementary and Secondary Education Amendments of 1973 and Better Schools Act of 1973

MONDAY, APRIL 16, 1973

U.S. SENATE,
SUBCOMMITTEE ON EDUCATION
OF THE COMMITTEE ON LABOR AND PUBLIC WELFARE,
Washington, D.C.

The subcommittee met, pursuant to notice, at 2:10 p.m. in room 4232, Dirksen Senate Office Building, Hon. Clayborne Pell, subcommittee chairman, presiding.

Present: Senators Pell, Mondale, Hathaway, Javits, Dominick, and Schweiker.

Senator PELL. The hearing of the Subcommittee on Education on S. 1539 and S. 1319 will come to order.

[A copy of S. 1539 and S. 1319 follow:]

93d CONGRESS
1st Session

S. 1539

IN THE SENATE OF THE UNITED STATES

April 11, 1973

Mr. Pell introduced the following bill; which was read twice and referred to the Committee on Labor and Public Welfare

---

A BILL

To amend and extend certain Acts relating to elementary and secondary education programs, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Elementary and Secondary Education Amendments of 1973".

II

TITLE I—AMENDMENTS TO THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965

Part A—Special Programs To Meet the Special Educational Needs of Educationally Deprived Children

DURATION OF PROGRAMS

Sec. 101. (a) Section 102 of title I of the Elementary and Secondary Education Act is amended by striking out "June 30, 1973" and inserting in lieu thereof "June 30, 1977".

(b) The third sentence of section 103 (a) (1) (A) of such title I is amended by striking out "July 1, 1973" and inserting in lieu thereof "July 1, 1977".

(c) Paragraph (3) of section 103 (a) of such title I is amended by striking out " (B) " at the beginning of subparagraph (B) and by striking out subparagraph (A) thereof.

(d) Subsection (c) of section 103 of such title I is amended by striking out "$2,000" and all that follows, and inserting in lieu thereof the following: ", subject to section 144, for any fiscal year 50 per centum and $4,000, respectively.".

(e) (1) The first sentence of paragraph (1) of section

131 (b) of such title I is amended to read as follows: "The maximum amount of any grant to any local educational agency under paragraph (1) of subsection (a), for any fiscal year, shall be 40 per centum of the amount that agency is eligible to receive for that fiscal year.".

(2) The second sentence of paragraph (2) of such section 131 (b) is amended to read as follows: "The maximum amount which shall be available to the Commissioner for grants under such paragraph (2) of subsection (a), for any fiscal year, shall be equal to 5 per centum of the total amount available for grants for that year under such paragraph (1).".

(f) The amendments made by this section shall be effective on and after June 30, 1973.

PART B—SCHOOL LIBRARY RESOURCES, TEXTBOOKS, AND OTHER INSTRUCTIONAL MATERIALS

DURATION OF PROGRAM

SEC. 121. (a) Section 201 (b) of the Elementary and Secondary Education Act of 1965 is amended by striking out all that follows "to be appropriated" and inserting in lieu thereof the following: "$220,000,000 for the fiscal year ending June 30, 1974, and for each of the succeeding fiscal years ending prior to July 1, 1977,".

(b) The third sentence of section 202 (a) (1) of such Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1977,".

(c) Section 204 (b) of such Act is amended by striking out "July 1, 1973," and inserting in lieu thereof July 1, 1977,".

(d) The amendments made by this section shall be effective on and after July 1, 1973.

Part C—Supplementary Educational Centers and Services; Guidance, Counseling, and Testing

DURATION OF PROGRAM

Sec. 131. (a) Section 301 (b) of the Elementary and Secondary Education Act of 1965 is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(b) Section 302 (a) (1) of such Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1978,".

(c) Section 305 (c) of such Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1978,".

(d) The amendments made by this section shall be effective on and after July 1, 1973.

PART D—STRENGTHENING STATE AND LOCAL EDUCATIONAL AGENCIES

DURATION OF PROGRAMS

SEC. 141. (a) Section 501 (b) of the Elementary and Secondary Education Act of 1965 is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1978".

(b) Section 521 (b) of such Act is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(c) Section 531 (b) of such Act is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(d) The amendments made by this section shall be effective on and after July 1, 1973.

PART E—BILINGUAL EDUCATION PROGRAMS

DURATION OF PROGRAM

SEC. 151. (a) Section 703 of the Elementary and Secondary Education Act of 1965 is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

Part F—Amendments to Title VIII of the Elementary and Secondary Education Act of 1965

DROPOUT PREVENTION PROJECTS

Sec. 161. (a) Section 807 (c) of the Elementary and Secondary Education Act of 1965 is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

SCHOOL NUTRITION AND HEALTH SERVICES

Sec. 162. Section 808 (d) of the Elementary and Secondary Education Act of 1965 is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

CORRECTION EDUCATION SERVICES

Sec. 163. Section 809 of the Elementary and Secondary Education Act of 1965 is amended by adding at the end thereof the following new subsection

"(c) For the purpose of carrying out this section, there is authorized to be appropriated $500,000 for the fiscal year ending June 30, 1974, and for each of the succeeding fiscal years ending prior to July 1, 1977.".

IMPROVEMENT OF EDUCATIONAL OPPORTUNITIES FOR INDIAN CHILDREN

SEC. 164. Section 810(g) of the Elementary and Secondary Education Act of 1965 is amended by striking out "two succeeding fiscal years" and inserting in lieu thereof "succeeding fiscal years ending prior to July 1, 1977".

CONSUMERS' EDUCATION

SEC. 165. Section 811(d) of the Elementary and Secondary Education Act of 1965 is amended by striking out "the year ending June 30, 1975," and inserting in lieu thereof "each of the fiscal years ending prior to July 1, 1977,".

TECHNICAL AMENDMENT

SEC. 166. Section 801 of the Elementary and Secondary Education Act of 1965 is amended, in that part thereof which precedes paragraph (a), by striking out "titles II, III, V, VI, and VII of" and by inserting after "Act," the following: "except in the amendment made by title I, and".

PART G—ETHNIC HERITAGE STUDIES CENTERS

DURATION OF PROGRAM

SEC. 171. (a) Section 906 of the Elementary and Secondary Education Act of 1965 is amended by striking out "the year ending June 30, 1973" and inserting in lieu thereof "each of the fiscal years ending prior to July 1, 1977".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

TITLE II—AMENDMENTS TO PUBLIC LAWS 815 AND 874 OF THE EIGHTY-FIRST CONGRESS

DURATION OF PAYMENTS UNDER PUBLIC LAW 815, EIGHTY-FIRST CONGRESS

SEC. 201. (a) (1) The first sentence of section 3 of the Act of September 23, 1950 (Public Law 815, Eighty-first Congress) is amended by striking out "June 30, 1973" and inserting in lieu thereof "June 30, 1977".

(2) Section 15 (15) of such Act is amended by striking out "1968–1969" and inserting in lieu thereof "1972–1973".

(b) Section 16 (a) of such Act is amended—

(1) in clause (1) (A) thereof, by striking out "July 1, 1973" and inserting in lieu thereof "July 1, 1977"; and

(2) in clause (1) (B) thereof by inserting after "seriously damaged" the following: ", prior to July 1, 1977".

(c) The amendments made by this section shall be effective on and after July 1, 1973.

DURATION OF PAYMENTS UNDER TITLE I OF PUBLIC LAW 874, EIGHTY-FIRST CONGRESS (PAYMENTS IN CONNECTION WITH CHILDREN WHO RESIDE ON, OR WHOSE PARENTS ARE EMPLOYED ON, FEDERAL PROPERTY)

SEC. 202. (a) (1) Section 2 (a) of the Act of September 30, 1950 (Public Law 874, Eighty-first Congress) is amended by striking out "July 1, 1973" and inserting in lieu thereof "July 1, 1977."

(2) (A) The first sentence of section 3 (b) of such Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1977,".

(B) The second sentence of such section (3) (b) is amended by striking out "July 1 1973," and inserting in lieu thereof "July 1, 1977,".

(b) Section 4 (a) of such Act is amended, in that part thereof which precedes clause (1), by striking out "July 1, 1973" and inserting in lieu thereof "July 1, 1977".

(c) Section 7 (a) of such Act is amended—

(1) in clause (1) (A), by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1977,"; and

(2) in clause (1) (B), by inserting after "seriously damaged" the following: "prior to July 1, 1977".

(d) The amendments made by this section shall be effective on and after July 1, 1973.

DURATION OF PAYMENTS UNDER PUBLIC LAW 874, EIGHTY-FIRST CONGRESS, FOR THE EDUCATION OF INDIAN CHILDREN

SEC. 203. (a) Section 303 (a) (1) of the Act of September 30, 1950 (Public Law 874, Eighty-first Congress), as added by the Indian Education Act, is amended by striking out "July 1, 1975," and inserting in lieu thereof "July 1, 1977,".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

TITLE III—EDUCATION OF HANDICAPPED CHILDREN

GRANTS TO STATES

SEC. 301. (a) Section 611 (b) of the Education of the Handicapped Act is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(b) Clause (B) of section 612 (a) (1) of such Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1977,".

(c) The amendments made by this section shall be effective on and after July 1, 1973.

CENTERS AND SERVICES TO MEET SPECIAL NEEDS OF THE HANDICAPPED

SEC. 302. (a) Section 626 of the Education of the Handicapped Act is amended by striking out "the fiscal year ending June 30, 1973," and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977,".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

TRAINING PERSONNEL FOR THE EDUCATION OF THE HANDICAPPED

SEC. 303. (a) Section 636 of the Education of the Handicapped Act is amended by striking out "the fiscal year ending June 30, 1973" and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

RESEARCH IN THE EDUCATION OF THE HANDICAPPED

SEC. 304. (a) Section 644 of the Education of the Handicapped Act is amended by striking out "the fiscal year ending June 30, 1973," and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977,".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

SPECIAL PROGRAMS FOR CHILDREN WITH SPECIFIC LEARNING DISABILITIES

SEC. 305. (a) Section 661 of the Education of the Handicapped Act is amended by striking out "July 1, 1973" and inserting in lieu thereof "July 1, 1977".

TITLE IV—AMENDMENTS TO THE GENERAL EDUCATION PROVISIONS ACT AND PROVISIONS RELATING TO THE ADMINISTRATION OF EDUCATION PROGRAMS

DURATION OF SPECIAL AUTHORIZATION OF APPROPRIATIONS FOR THE GENERAL EDUCATION PROVISIONS ACT

SEC. 401. (a) Section 400(c) of the General Education Provisions Act is amended by inserting after "for any fiscal year" the following: "ending prior to July 1, 1977".

(b) The amendment made by subsection (a) shall be effective on and after July 1, 1973.

TIME PERIOD DURING WHICH RESOLUTIONS OF EITHER HOUSE MAY TERMINATE CONTINGENT EXTENSION AUTHORITY FOR APPROPRIATIONS

SEC. 402. (a) Section 413(c)(2) of the General Education Provisions Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1977,".

(b) The amendments made by subsection (a) shall be effective on and after July 1, 1973.

AVAILABILITY OF APPROPRIATIONS

SEC. 403. (a) Section 405(b) of the General Education Provisions Act is amended by striking out "July 1, 1973," and inserting in lieu thereof "July 1, 1977,".

(b) The amendments made by subsection (a) shall be effective on and after July 1, 1973.

TITLE V—ADULT EDUCATION

DURATION OF PROGRAM

SEC. 501. (a) Section 312 of the Adult Education Act is amended by striking out "fiscal years ending June 30, 1972, and June 30, 1973," and inserting in lieu thereof "succeeding fiscal years ending prior to July 1, 1977,".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

TITLE VI—MISCELLANEOUS

ENVIRONMENTAL EDUCATION

SEC. 601. (a) Section 7 of the Environmental Education Act is amended by striking out "the fiscal year ending June 30, 1973," and inserting in lieu thereof "each of the succeeding fiscal years ending prior to July 1, 1977,".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

DRUG ABUSE EDUCATION

SEC. 602. (a) (1) Section 3(e) of the Drug Abuse Education Act of 1970 is amended by striking out that part of the first sentence thereof which follows "appropriated" and inserting in lieu thereof ", for the purpose of carrying out this section, $14,000,000 for the fiscal year ending June 30, 1974, and for each of the succeeding fiscal years ending prior to July 1, 1977.".

(2) The first sentence of section 4 of such Act is amended to read as follows: "For the purpose of carrying out the provisions of this section, there is authorized to be appropriated $14,000,000 for the fiscal year ending June 30, 1974, and for each of the succeeding fiscal years ending prior to July 1, 1977.".

(b) The amendments made by this section shall be effective on and after July 1, 1973.

TITLE VII—ADMINISTRATION OF EDUCATION PROGRAMS

AMENDMENT TO THE GENERAL EDUCATION PROVISIONS ACT

SEC. 701. (a) The General Education Provisions Act (title IV of Public Law 90–247) is amended to read as follows:

"TITLE IV—GENERAL PROVISION CONCERNING EDUCATION

"SHORT TITLE

"SEC. 401. This title may be cited as the 'General Education Provisions Act'.

"DEFINITIONS

"SEC. 402. Unless otherwise specified, the following definitions shall apply to the terms used in any applicable statute:

"(1) The term 'applicable program' means any program for which an officer of the United States in any agency of the Education Division or in the office of the Assistant Secretary has administrative responsibility either by law or by delegation of authority, in accordance with law.

"(2) The term 'applicable statute' means the Act, or the title, part, or section of an Act, as the case may be, which authorizes the appropriations for an applicable program, this Act, and any other statute which, under its terms, expressly controls the administration of an applicable program.

"(3) The term 'Secretary' means the Secretary of Health, Education, and Welfare.

"(4) The term 'Assistant Secretary' means the Assistant Secretary of Health, Education, and Welfare created under section 411 (c).

"(5) The term 'Commissioner' means the Commissioner of Education for which provision is made under section 412 (b).

"(6) The term 'Education Division' means the Education Division established under section 411 (a) and (b).

"(7) The term 'Office of Education' means the agency of Education for which provision is made under section 412 (b).

"(8) The term 'National Institute of Education' means the agency established under section 413.

"(9) The term 'National Center for Education Statistics' means the agency established under section 414.

"(10) The term 'National Commission on Education Policy Planning and Evaluation' means the commission established under section 431.

"(11) The term 'construction' means (A) erection of new or expansion of existing structures and the acquisition and installation of necessary equipment therefor; or (B) acquisition of existing structures; or (C) remodeling or alteration of existing structures; or (D) any combination of any two or more of the activities described in clauses (A), (B), and (C).

"(12) The term 'elementary school' means a day or residential school which provides elementary education, as determined under State law.

"(13) The term 'equipment' includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them, and includes all other items necessary for the functioning of a particular facility, as a facility for the provision of educational services, including such items as instructional equipment and necessary furniture; printed, published, and audio-visual instructional materials; and books, periodicals, documents; and other related materials.

"(14) The term 'free public education' means education which is provided at public expense, under public supervision, direction, and control, and without tuition charge, and which is provided as elementary or secondary school education in the applicable State.

"(15) The term 'gifted and talented' when applied to children means children who, in accordance with objective criteria established by the Commissioner by regulation, have outstanding intellectual ability or creative talent, the development of which requires special educational activities or services not ordinarily provided by local educational agencies.

"(16) The term 'handicapped' when applied to a person means a person who is mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, or crippled.

"(17) The term 'institution of higher education' means an educational institution in a State which—

"(A) admits, as regular students, only individuals having a certificate of graduation from a secondary school (or the recognized equivalent thereof);

"(B) is legally authorized within such State to provide a program of postsecondary education;

"(C) provides an educational program for which it awards a bachelor's degree, or provides not less than a two-year program which is acceptable for full credit toward such a degree;

"(D) is a public or other nonprofit institution; and

"(E) is accredited by a nationally recognized accrediting agency or association, as determined by the Commissioner.

For the purposes of clause (E), the Commissioner shall publish a list of nationally recognized accrediting agencies or associations which he determines to be reliable authorities as to the quality of education or training offered in institutions of higher education.

"(18) The term 'local educational agency' means a public board of education or other public authority legally constituted within a State for either administrative control or direction, or to perform a service function for free public education in elementary or secondary schools in a school district or other local political subdivision of a State, or such combination of school districts or other local political subdivisions of a State as are recognized in a State as an administrative agency for the provision of free public education in elementary or secondary schools.

"(19) The term 'nonprofit' as applied to a school, agency, organization, or institution means an educational school, agency, organization, or institution owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

"(20) The term 'parent' includes a legal guardian of, or other person standing in loco parentis with, a child.

"(21) The term 'school or department of divinity' means an institution or department or a branch of an institution, the educational program of which is designed or intended for the education of students—

"(A) to prepare them to become ministers of religion or to enter upon some other religious vocation (or to provide continuing training for any such vocation); or

"(B) to prepare them to teach theological subjects.

"(22) The term 'secondary school' means a school which provides secondary education as determined under State law.

"(23) The term 'State' includes the several States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands.

"(24) The term 'State educational agency' means the State board of education or other agency or officer primarily responsible for the State supervision of free public education in elementary and secondary schools, or, if there is no such officer or agency, an office or agency designated by the Governor or by State law.

"APPROPRIATIONS

"SEC. 403. (a) Subject to subsection (b), there are authorized to be appropriated for any fiscal year ending prior to July 1, 1977, such sums as may be necessary to carry out the provisions of this title. Except as may be otherwise authorized in this title, there shall be no expenditure of funds for any activity authorized by this title except from appropriations pursuant to the preceding sentence.

"(b)(1) Of the sums appropriated pursuant to subsection (a)—

"(A) not to exceed $1,500,000 for any fiscal year shall be for salaries and expenses for the operation of the office of the Assistant Secretary;

"(B) not to exceed $60,000,000 for any fiscal year shall be for salaries and expenses for the administration of the Office of Education;

"(C) not to exceed $7,000,000 for any fiscal year shall be for salaries and expenses for the National Institute of Education; and

"(D) not to exceed $3,000,000 for any fiscal year shall be for salaries and expenses for the National Center for Education Statistics.

"(2) Of the sums appropriated pursuant to subsection (a) for any fiscal year—

"(A) the amount available for grants and contracts of the National Institute of Education under section 413 (d) shall not exceed the amount specified for that year in section 413 (g) (1);

"(B) the amount available for the activities (other than salaries and expenses) of the National Center for Education Statistics shall not exceed the amount specified for that year in section 414 (g);

"(C) not less than $1,000,000 shall be available to the National Commission on Education Policy Planning and Evaluation for investigations and evaluations with respect to the administration of federally assisted education programs;

"(D) the amount available for any fiscal year for the purposes of section 432 shall not exceed $5,000,000; and

"(E) the amounts available for any fiscal year for the purposes of sections 413 (c), 416, 434, and 453, part C, part D, and part E shall not exceed limitations specified therefor in Acts appropriating funds for the purposes of such sections for that year.

"(3) The sums necessary to carry out any provision of this title for which there is no provision in paragraph (1) or (2) shall be available therefor from sums appropriated pursuant to subsection (a) and limited under clause (B) of paragraph (1).

"GENERAL PROVISIONS

"SEC. 404. (a) The provisions of title 5, United States Code, shall be applicable to agencies and programs subject to this title to the extent that such provisions are not inconsistent with the provisions of this title.

"(b) No authority vested in the Assistant Secretary or in any agency or officer, council, commission, or board in the Education Division shall be transferred to any other agency or any official in any other agency except by a statute which expressly limits the effect of this section.

“PART A—ADMINISTRATION

“THE EDUCATION DIVISION

“SEC. 411. (a) There shall be, within the Department of Health, Education, and Welfare, an Education Division, composed of the agencies listed in subsection (b).

“(b) The Education Division shall be composed of the following agencies:

“(1) the Office of Education;

“(2) the National Institute of Education; and

“(3) the National Center for Education Statistics.

“(c) (1) There shall be in the Department of Health, Education, and Welfare an Assistant Secretary of Health, Education, and Welfare for Education who shall head the Education Division. The Assistant Secretary shall be appointed by the President, by and with the advice and consent of the Senate, and shall be compensated at the rate specified for level IV of the Executive Schedule under section 5315 of title 5, United States Code.

“(2) The Assistant Secretary, subject to and in accordance with these provisions of title 5, United States Code, relating to the appointment and compensation of personnel and subject to such limitations as may be imposed in this title, is authorized to appoint and compensate such personnel as are necessary to enable him to carry out the functions of his office. The number of such personnel shall not, for any fiscal year, exceed the number specified for such purpose by the Act making general appropriations for the agencies in the Education Division for that fiscal year. No person shall be assigned to the office of the Assistant Secretary except under the authority of this paragraph.

"(d) All functions of the Secretary related to the administration of any applicable program shall be delegated to the Assistant Secretary.

"(e) To the extent that the primary administrative responsibility for any program is vested in the Assistant Secretary by law or by delegation of authority, in accordance with law, the Assistant Secretary shall be considered an administrative head of an education agency for the purposes of section 417 (a) with respect to the administration of that program. The Assistant Secretary is authorized to delegate any of his functions with respect to any such program to the Commissioner.

"OFFICE OF EDUCATION

"Sec. 412. (a) There shall be an Office of Education (hereinafter in this section referred to as the 'Office') which shall be the primary agency of the Federal Government responsible for the administration of programs of financial assistance to educational agencies, institutions, and organizations. The Office shall have such responsibilities and authorities as may be vested in the Commissioner by law or delegated to the Commissioner in accordance with law.

"(b) (1) The Office shall be headed by the Commissioner of Education who shall be appointed by the President, by and with the advice and consent of the Senate, and who shall be compensated at the rate specified for level V of the Executive Schedule under section 5316 of title 5, United States Code.

"(2) (A) There shall be in the Office an Executive Deputy Commissioner of Education (in this subsection referred to as the 'Executive Deputy Commissioner') who shall be appointed by the President and shall, subject to the direction of the Commissioner, be responsible for broad delegated responsibility to act for the Commissioner on major aspects of the Office of Education.

"(B) The Executive Deputy Commissioner shall be placed in, and compensated at the rate specified for, grade 18 of the General Schedule set forth in section 5332 of title 5, United States Code.

"(c) (1) The Office shall, consistent with such organization thereof which is provided in law, be divided into bureaus, and such bureaus shall be divided into divisions, as the Commissioner determines appropriate.

"(2) (A) Bureaus of the Office shall be headed by Deputy Commissioners, and divisions of such bureaus shall be headed by Directors.

"(B) Deputy Commissioners subject to this subsection, shall be placed in, and compensated at the rate specified for, grade 18 of the General Schedule set forth in section 5332 of title 5, United States Code, and Directors, subject to this subsection, shall be placed in, and compensated at the rate specified for, grade 17 of such General Schedule.

"(d) (1) There shall be regional offices of the Office of Education established in such places as the Commission, after consultation with the Assistant Secretary, shall determine. Such regional offices shall carry out such functions as are specified in paragraph (2).

"(2) The regional offices shall serve as centers for the dissemination of information about the activities of the agencies in the Education Division and provide technical assistance to State and local educational agencies, institutions of higher education, and other educational agencies, institutions, and organizations and to individuals and other groups having an interest in Federal education activities.

"(3) (A) The Assistant Secretary is authorized to delegate any of his functions under sections 482 and 484 to employees of the Office of Education serving in regional offices.

"(B) The Commissioner shall not delegate any of his functions to employees serving in regional offices.

"(C) Notwithstanding any other provision of law unless enacted in express limitation of this paragraph, there shall be no delegations of functions to employees serving in regional offices except as provided in this subsection.

"(e) The Commissioner shall submit to the Committee on Labor and Public Welfare of the Senate and the Committee on Education and Labor of the House of Representatives not later than March 31 of each year a report on the personnel needs and assignments of the Office. Such report shall include a description (1) of the manner in which the Office is organized and the personnel of the Office are assigned to the various functions of that agency and (2) of personnel needs of that agency in order to enable it to carry out its functions, as authorized by law.

"NATIONAL INSTITUTE OF EDUCATION

"SEC. 413. (a) (1) The Congress hereby declares it to be the policy of the United States to provide to every person an equal opportunity to receive an education of high quality regardless of his race, color, religion, sex, national origin, or social class. Although the American educational system has pursued this objective, it has not yet attained that objective. Inequalities of opportunity to receive high quality education remain pronounced. To achieve equality will require far more dependable knowledge about the processes of learning and education than now exists or can be expected from present research and experimentation in this field. While the direction of the education system remains primarily the responsibility of State and local governments, the Federal Government has a clear responsibility to provide leadership in the conduct and support of scientific inquiry into the educational process.

"(2) The Congress further declares it to be the policy of the United States to—

"(i) help to solve or to alleviate the problems of, and promote the reform and renewal of American education;

"(ii) advance the practice of education, as an art, science, and progession;

"(iii) strengthen the scientific and technological foundations of education; and

"(iv) build an effective educational research and development system.

"(b) (1) In order to carry out the policy set forth in subsection (a), there is established the National Institute of Education (hereafter in this section referred to as the 'Institute') which shall consist of a National Council on Educational Research (referred to in this section as the 'Council') and a Director of the Institute (hereafter referred to as the 'Director'). Notwithstanding any other provision of law, except section 417, unless enacted in express limitation of this sentence, the Institute shall have only such authority as may be vested therein by this section.

"(2) The Institute shall, in accordance with the provisions of this section, seek to improve education in the United States by carrying out the policies set forth in subsection (a).

"(c) (1) The Council shall consist of fifteen members appointed by the President, by and with the advice and consent of the Senate, the Director, and such other ex officio members who are officers of the United States as the President may designate. The Chairman of the Council shall be designated from among its appointed members by the President. Ex officio members shall not have a vote on the Council.

"(2) The term of office of the members of the Council (other than ex officio members) shall be three years, except that (A) the members first taking office shall serve as designated by the President, five for terms of three years, five for terms of two years, and five for terms of one year, and (B) any member appointed to fill a vacancy shall serve for the remainder of the term for which his predecessor was appointed. Any appointed member who has been a member of the Council for six consecutive years shall thereafter be ineligible for appointment to the Council during the two-year period following the expiration of such sixth year.

"(3) (A) The Council shall—

"(i) establish general policies for, and review the conduct of, the Institute;

"(ii) conduct such studies as may be necessary to fulfill its functions under this section; and

"(iii) prepare an annual report meeting the requirements of subparagraph (B).

"(B) The annual report required by clause (iii) of subparagraph (A) shall include—

"(i) a statement describing the then current status and needs of educational research in the United States;

"(ii) an evaluation of the activities of the Institute and the progress of the Institute toward achieving the goals in the policies set forth in subsection (a) and meeting the needs described in the statement required by clause (i);

"(iii) a description of the activities proposed to be carried out during the succeeding fiscal year, including a statement describing the manner in which such activities are intended to achieve such goals and meet such needs; and

"(iv) an estimate of the expense of the Institute in carrying out such activities.

Such annual report shall be submitted to the President and the Congress not later than November 1 of each year.

"(C) (i) The Council shall meet at the call of the Chairman, except that it shall meet—

"(I) at least six times during each calendar year; and

"(II) in addition, whenever one-third of the appointed members request in writing that the Chairman call a meeting.

“(ii) Eight appointed members of the Council shall constitute a quorum of the Council, except that when the Council is meeting pursuant to a request under clause (II) of division (i), six members shall constitute a quorum.

“(D) The Council shall include among its general policies established pursuant to clause (i) of subparagraph (A), standards which will insure that the activities of the Institute are of high quality and are not subject to political influence.

“(4) In order to assist the Council in carrying out its functions under this section, the Council is authorized to appoint without regard for the provisions of title 5, United States Code, governing appointments in the competitive service and compensate without regard for the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates, such technical and professional employees as it determines necessary.

“(5) The Council shall subject, as a part of its annual report, not later than November 1 of each year, to the Congress an estimate of its expenses under paragraph (4) for the succeeding fiscal year.

“(d) (1) The Director of the Institute shall be appointed by the President, by and with the advice and consent of the Senate. The Director shall be compensated at the rate provided for level V of the Executive Schedule under section 5316 of title 5, United States Code, and shall perform such duties and exercise such powers and authorities as the Council may prescribe.

"(2) There shall be a Deputy Director of the Institute (referred to in this section as the 'Deputy Director') who shall be appointed by the President. The Deputy Director shall be placed in, and compensated at the rate provided for, grade 18 of the General Schedule set forth in section 5332 of title 5, United States Code, and shall act for the Director during the absence or disability of the Director and exercise such powers and authorities as the Director may prescribe.

"(c) (1) In order to carry out the objectives of the Institute, the Director is authorized, through the Institute, to conduct educational research; train individuals in educational research; assist and foster such research, collection, dissemination, or training through grants, or technical assistance to, or jointly financed cooperative arrangements with, public or private organizations, institutions, agencies, or individuals; promote the coordination of such research and research support within the Federal Government; and may construct or provide (by grant or otherwise) for such facilities as he determines may be required to accomplish such purposes. As used in this subsection, the term 'educational research' includes research (basic and applied), planning, surveys, evaluations, investigations, experiments, development, and demonstrations in the field of education.

"(2) The Director may, in order to carry out his functions under paragraph (1), appoint, for terms not to exceed three years, without regard to the provisions of title 5, United States Code, governing appointments in the competitive service and may compensate without regard to the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates, such technical or professional employees of the Institute as he deems necessary to accomplish its functions and also appoint and compensate without regard to such provisions not to exceed one-fifth of the number of full-time, regular technical or professional employees of the Institute.

"(3) The functions of the Director under this subsection are subject to, and shall be carried out in accordance with, policies established for the purposes of this subsection by the Council.

"(4) The Director, subject to the policies of the Council, is authorized to delegate any of his functions under this subsection to any officer or employee of the Institute.

"(f) Where funds are advanced for a single project by more than one Federal agency for the purposes of this section, the National Institute of Education may act for all in administering the funds advanced.

"(g) (1) The amount available for grants and contracts by the Director under subsection (e) for any fiscal year shall not exceed $165,000,000; and the aggregate of the amounts so available during the period beginning July 1, 1973 and ending June 30, 1977, shall not exceed $500,000,000.

"(2) Sums appropriated for activities and expenses of the Institute which are not limited by section 403(b)(2)(A) and paragraph (1) of this subsection shall be appropriated apart from appropriations which are not so limited, as separate line items

"NATIONAL CENTER FOR EDUCATION STATISTICS

"SEC. 414. (a) There is established a National Center for Education Statistics (hereafter in this section referred to as the 'Center') which shall consist of a National Board for Education Statistics (hereafter in this section referred to as the 'Board') and a Diretcor of the Center.

"(b) The purpose of the Center shall be to collect and disseminate statistics and other data related to education in the United States and in other nations. The Center shall—

"(1) collect, collate, and, from time to time, report full and complete statistics on the conditions of education in the United States;

"(2) conduct and publish specialized analyses of meaning and significance of such statistics;

"(3) assist State and local educational agencies in improving their statistical and data collection activities; and

"(4) review and report on educational activities in foreign countries.

"(c) (1) (A) The National Board for Education Statistics shall be composed of six members appointed by the President, by and with the advice and consent of the Senate, and such ex officio members as are listed in subparagraph (B). Not more than three of the appointed members may be members of the same political party.

"(B) The ex officio members of the Board shall be the following officials:

"(i) The Assistant Secretary, as provided in subparagraph (D).

"(ii) The Director of the National Center for Educational Statistics.

"(iii) The Commissioner of Education.

"(iv) The Chairman of the National Council on Educational Research.

"(v) The Librarian of Congress.

"(vi) The Secretary of the Smithsonian Institution.

"(vii) The Director of the Census.

"(viii) The Commissioner of Labor Statistics.

"(C) Appointed members of the Board shall serve for terms of three years, except that (i) of the initial members four shall serve for shorter terms, as determined by the President, so that no more two terms of office expire in any calendar year, and (ii) any member appointed to fill a vacancy shall serve only for the remainder of the term for which his predecessor was appointed.

"(D) The Assistant Secretary shall serve as the nonvoting presiding officer of the Board.

"(2) (A) The Board shall meet at the call of the presiding officer, except that it shall meet—

"(i) at least six times during each calendar year; and

"(ii) in addition, whenever three voting members request in writing that the presiding officer call a meeting.

"(B) Seven voting members of the Board shall constitute a quorum of the Board, except that when the Board is meeting pursuant to a request under clause (ii) of subparagraph (A), four of such members shall constitute a quorum.

"(3) (A) The Board shall establish general policies for the operation of the Center and shall be responsible for establishing standards to insure that statistics and analyses disseminated by the Center are of high quality and are not subject to political influence.

"(B) The Board shall, not later than November 1 of each year, submit to the Congress an annual report which—

"(i) contains a description of the activities of the Center during the then current fiscal year and a projection of its activities during the succeeding fiscal year;

"(ii) sets forth estimates of the cost of the projected activities for such succeeding fiscal year; and

"(iii) includes a statistical report on the condition of education in the United States during the two preceding fiscal years and a projection, for the three succeeding fiscal years, of estimated statistics related to education in the United States.

"(d) (1) The Director of the Center shall be appointed by the President, by and with the advice and consent of the Senate, and shall be compensated at the rate specified for level V of the Executive Schedule under section 5316 of title 5, United States Code. The Director shall perform such duties and exercise such powers and authorities as the Board may prescribe.

"(2) There shall be a Deputy Director of the Center (referred to in this section as the 'Deputy Director') who shall be appointed by the President. The Deputy Director shall be placed in, and compensated at the rate specified for, grade 18 of the General Schedule set forth in section 5332 of title 5, United States Code. The Deputy Director shall act for the Director during the absence or disability of the Director and exercise such powers and authorities as the Director may prescribe.

"(e) In order to carry out the objectives of the Center, the Director, subject to policies established by the Board, is authorized, either directly or by grant or contract, to carry out the purposes set forth in subsection (b).

"(f) (1) The Center is authorized to furnish transcripts or copies of tables and other records of the Office of Education, the Center, and the National Institute of Education to, and to make special statistical compilations and surveys for, State or local officials, public and private organizations, or individuals. Such statistical compilations and surveys shall be made subject to the payment of the actual or estimated cost of such work. In the case of nonprofit organizations or agencies, the Director may engage in joint statistical projects, the cost of which shall be shared equitably as determined by the Director, provided that the purposes are otherwise authorized by law.

"(2) All moneys received in payment for work or services enumerated under this section shall be deposited in a separate account which may be used to pay directly the costs of such work or services, to repay appropriations which initially bore all or part of such costs, or to refund excess sums when necessary.

"(3) The Commissioner and the National Institute of Education are directed to cooperate with the Center and make such records and data available to the Center as may be necessary to enable the Center to carry out its functions under this subsection.

"(g) (1) The amount available for grants and contracts by the Director under subsection (e) for any fiscal year shall not exceed $5,000,000.

"(2) Sums appropriated for activities and expenses of the Center which are not limited by section 403 (b) (2) (B) and paragraph (1) of this subsection shall be appropriated apart from appropriations which are not so limited, as separate line items.

"FEDERAL INTERAGENCY COMMITTEE ON EDUCATION

"SEC. 415. (a) There shall be, in the Education Division, a Federal Interagency Committee on Education which shall be composed of—

"(1) the Assistant Secretary;

"(2) the Commissioner;

"(3) the Director of the National Institute of Education;

"(4) the Director of the National Center for Education Statistics; and

"(5) one representative of each of the following departments and agencies:

"(A) the Department of State,

"(B) the Department of Defense,

"(C) the Department of Agriculture,

"(D) the Department of Labor,

"(E) the National Science Foundation,

"(F) the National Endowment for the Arts,

"(G) the National Endowment for the Humanities,

"(H) the Atomic Energy Commission, and

"(I) the National Aeronautics and Space Administration.

The Chairman of the Committee shall be designated by the President from among its members.

"(b) (1) The Committee shall advise the heads of departments and agencies with respect to their functions which relate to, or affect, education and encourage them to coordinate such functions.

"(2) The Committee shall collect education-related data and other information from the departments and agencies of the Federal Government and make such data and other information available to the National Center for Education Statistics.

"(c) The Assistant Secretary shall provide the Committee with such professional, technical, and clerical staff as may be necessary to enable the Committee to carry out its functions under this section.

"RULES FOR EDUCATION OFFICERS OF THE UNITED STATES

"SEC. 416. (a) For the purposes of this section, the term 'education officer of the United States' means any person appointed by the President pursuant to this part, except members of commissions, councils, and boards.

"(b) Each education officer of the United States shall serve at the pleasure of the President.

"(c) No education officer of the United States shall engage in any other business, vocation, or employment while serving in the position to which he is appointed; nor may he, except with the express approval of the President in writing, hold any office in, or act in any capacity for, or have any financial interest in, any organization, agency, or institution to which an agency in the Education Division makes a grant or with any such agency makes a contract or any other financial arrangement.

"(d) No person shall hold, or act for, more than one position as an education officer of the United States at any one time.

"GENERAL AUTHORITY OF ADMINISTRATIVE HEADS OF EDUCATION AGENCIES

"SEC. 417. (a) Each administrative head of an education agency, in order to carry out functions otherwise vested in him by law, is, subject to such limitations as may be otherwise imposed by law, authorized—

"(1) to make, promulgate, issue, rescind, and amend rules and regulations governing the manner of operation of the agency of which he is head;

"(2) in accordance with those provisions of title 5, United States Code, relating to the appointment and compensation of personnel and subject to such limitations as are imposed in this part, to appoint and compensate such personnel as may be necessary to enable such agency to carry out its functions;

"(3) to accept unconditional gifts or donations of services, money, or property (real, personal, or mixed; tangible or intangible);

"(4) without regard for section 3648 of the Revised Statutes of the United States (31 U.S.C. 529), to enter into and perform such contracts, leases, cooperative agreements, or other transactions as may be necessary for the conduct of such agency;

"(5) with funds expressly appropriated for such purpose, to construct such facilities as may be necessary to carry out functions vested in him or in the agency of which he is head, and to acquire and dispose of property; and

"(6) to use the services of other Federal agencies and reimburse such agencies for such services.

"(b) Any administrative head of an education agency is, subject to any other limitations on delegations of authority provided by law, authorized to delegate any of his functions under this section to an officer or employee of that agency.

"(c) For the purposes of this section, the term 'administrative head of an education agency' means the Commissioner, the Director of the National Institute of Education, and the Director of the National Center for Education Statistics.

"PART B—PLANNING, EVALUATING, AND APPROPRIATIONS FOR EDUCATION PROGRAMS

"APPLICABILITY

"SEC. 421. (a) The provisions of this part shall apply to any program for which the Commissioner or the National Institute of Education has administrative responsibility, as provided by law or by delegation of authority, in accordance with law.

"(b) (1) For the purposes of this part—

"(A) the term 'applicable program' means any program to which this part is, under the terms of subsection (a), applicable; and

"(B) the term 'applicable statute' means (i) the Act, or the title, part, or section of an Act, as the case may be, which authorizes the appropriation for an applicable program, (ii) this part, and (iii) any other statute which, under its terms, expressly controls the administration of an applicable program.

"(2) The Civil Rights Act of 1964 (A) shall not be considered, for the purposes of this part, an applicable statute, but (B) shall have full force and effect on the basis of the terms of that Act with respect to the administration of any applicable program.

"(3) No Act making appropriations to carry out an applicable program shall be considered an applicable statute.

"(c) In the case of any provision in this part which limits the applicability of other provision of law to the contrary unless such other provision of law is enacted in express and specific limitation thereof, the form of an enactment expressly and specifically limiting any such provision shall be as follows: 'This ——— is enacted as a limitation on ——— of the General Education Provisions Act'; the first blank is to be filled with the section, part, title, or Act, as the case may be, which creates the limitation; and the second blank is to be filled with the section number on which the limitation is imposed.

"Subpart 1—Planning and Evaluation of Federal Education Activities

"NATIONAL COMMISSION ON EDUCATION POLICY PLANNING AND EVALUATION

"SEC. 431. (a) (1) There is established a National Commission on Education Policy Planning and Evaluation (hereinafter in this section referred to as the 'Commission') which shall be composed in the manner set forth in paragraph (2) and carry out the purposes set forth in subsection (b).

"(2) The Commission shall be composed of—

"(A) three Members of the Senate, selected by the Senate, not more than two of which may be members of the same political party;

"(B) three Members of the House of Representatives selected by the House of Representatives, not more than two of which may be members of the same political party; and

"(C) three persons appointed by the President, not more than two of which shall be members of the same political party.

"(3) Members of the Commission who are Senators or

Representatives shall serve for such terms as the Senate and the House of Representatives may determine with respect to their respective members.

"(4) Members of the Commission who are appointed by the President shall serve for terms of three years, except that (A) in the case of members first appointed, one shall serve for a term of two years, and one shall serve for a term of one year, and (B) any member appointed to fill a vacancy shall serve only for the remainder of the term for which his predecessor was appointed.

"(b) The purpose of the Commission shall be—

"(1) to make recommendations to the President and the Congress with respect to national policy regarding the Federal policy regarding education in the United States;

"(2) to investigate and evaluate activities of the Federal Government as they relate to education.

"(c) (1) The Commission is authorized and directed to—

"(A) advise the President and the Congress on the development, adoption, and implementation of national policies regarding education;

"(B) conduct such studies, analyses, surveys, evaluations, and investigations as may be appropriate to carry out its purposes;

"(C) make and submit to the Congress and the President, such reports, recommendations, and findings as it deems necessary to promote the improvement of education throughout the Nation and to improve the administration of Federal education activities; and

"(D) submit to the Congress and the President not later than January 31 of each year an annual report, in such form and containing such information, recommendations, and findings as it deems appropriate.

"(2) (A) The Commission is authorized, in accordance with policies established for such purpose, to enter into contracts with Federal agencies and other public and private agencies and organizations in order to enable it to carry out its functions.

"(B) The Commission is authorized, within the scope of its purposes and functions, to give technical and expert assistance to the agencies in the education division, other Federal agencies having educational purposes, congressional committees, State and local educational agencies, and institutions of higher education in order to assist them in policy planning and evaluation of education activities within the scope of their responsibility under Federal law.

"(d) (1) The Commission is authorized to appoint and compensate an executive staff director, who shall be compensated at the rate specified for grade 18 of the General Schedule set forth in section 5332 of title 5, United States Code.

"(2) The Commission is authorized to appoint, without regard for the provisions of title 5, United States Code, covering appointments in the competitive service, such professional, technical, and clerical personnel as may be necessary for it to carry out its functions under this section.

"(3) The Commission may procure without regard to the civil service or classification laws, temporary and intermittent services of such personnel as it finds necessary.

"(e) Members of the Commission appointed by the President, who are not in the regular full-time employ of the United States shall, while engaged in the business of the Commission, be entitled to receive compensation at a rate fixed by the President, including traveltime. All members, while serving on the business of the Commission away from their homes or regular places of business, may be allowed travel expenses, including per diem in lieu of subsistence.

"(f) (1) The Commission shall have access to all information it determines necessary from all Federal agencies and recipients of Federal assistance under any Federal education program to the extent necessary to enable it to carry out its functions under this section.

"(2) All Federal agencies are directed to cooperate with the Commission in carrying out its functions.

"(g) In addition to the amounts provided under section 403(b)(C) for enabling the Commission to carry out its functions, the Commission shall have available for such purpose such amounts as may be provided in appropriation acts, except tthat such amounts shall not exceed, for any fiscal year, one-tenth of one percent of the total appropriations for that fiscal year to the agencies in the Education division.

"PROGRAM PLANNING AND EVALUATIONS BY THE ASSISTANT SECRETARY

"SEC. 432. (a) (1) In accordance with policies established by the Secretary and approved by the National Commission on Education Policy Planning and Evaluation, the Assistant Secretary is authorized by grant or contract or directly to carry out planning activities for and evaluations of applicable programs.

"(2) In order to carry out his functions under paragraph (1), the Assistant Secretary shall for such purpose be deemed to be an administrative head of an education agency with respect to the authority vested therein by clauses (2), (4), and (6) of section 417(a).

"(b) Sums available for the purposes of this section shall not exceed the limitation set forth in clause (D) of section 403 (b) (2).

"ANNUAL EVALUATION REPORTS

"SEC. 433. (a) Not later than March 31 of each year, the Assistant Secretary shall transmit to the Committee on Education and Labor of the House of Representatives and the Committee on Labor and Public Welfare of the Senate an annual evaluation report which evaluates the effectiveness of applicable programs in achieving their legislated purposes together with recommendations relating to such programs for the improvement of such programs which will result in greater effectiveness in achieving such purposes.

"(b) Each evaluation report submitted pursuant to subsection (a) shall contain: (1) a brief description of each contract or grant for evaluation of any program conducted under section 432, any part of the performance of which occurred during the preceding year, (2) the name of the firm or individual who is to carry out the evaluation, and (3) the amount to be paid under the contract or grant.

"RENEWAL EVALUATION REPORTS

"SEC. 434. (a) In the case of any applicable program for which—

"(1) the authorization of appropriations expires; or

"(2) the time during which payments or grants are to be made expires;

not later than one year prior to the date of such expiration, the Assistant Secretary shall submit to the Committee on Education and Labor of the House of Representatives and the Committee on Labor and Public Welfare of the Senate a comprehensive evaluation report on such program.

"(b) Any comprehensive evaluation report submitted pursuant to subsection (a) shall contain—

"(1) a history of the program concerned including—

"(A) a history of authorizations of appropriations, budget requests, appropriations, and expenditures for such programs;

"(B) a history of legislative recommendations with respect to such program made by the President and the disposition of such recommendations, and

"(C) a history of legislative changes made in applicable statutes with respect to such program;

"(2) assuming a continuation of such program, recommendations for improvements (including legislative changes) in such program with a view toward achieving the legislative purposes of such program;

"(3) a compilation and summary of all evaluations of such program; and

"(4) a recommendation with respect to whether such program should be continued, and the date of its expiration and the reasons for such recommendation.

"AUDITS, EVALUATIONS, REVIEW BY THE COMPTROLLER GENERAL

"SEC. 435. (a) (1) (A) Upon request—

"(i) of either the chairman of the Committee on Labor and Public Welfare of the Senate or the chairman of the Committee on Education and Labor of the House of Representatives, or either of their delegates for the purposes of this clause; or

"(ii) of either such committee, by resolution; or

"(iii) to the extent personnel are available, of any member of either such committee;

the Comptroller General of the United States shall conduct a review, audit, evaluation, or investigation of any activity of either the Office of Education or the National Institute of Education.

"(B) Upon any request under subparagraph (1), the Comptroller General shall—

"(i) conduct studies of the laws and regulations governing or related to the activity which is the subject of such request;

"(ii) review the policies, procedures, and practices of either the Office of Education or the National Institute of Education related to such activity;

"(iii) evaluate the activity in question with respect to the law governing such activity;

"(iv) evaluate particular programs or projects, and review the evaluation procedures of either the Office of Education or the National Institute of Education with respect to any applicable program; and

"(v) conduct such other audit or investigative procedures as may be specified in the request.

"(2) (A) Upon request—

"(i) of either the chairman of the Committee on Labor and Public Welfare of the Senate or the chairman of the Committee on Education and Labor of the House of Representatives, or either of their delegates for the purposes of this clause; or

"(ii) of either such committee by resolution;

the Comptroller shall give an advisory ruling on legality of any expenditure or other activity of either the Office of Education or the National Institute of Education.

"(B) Upon receipt of a request under paragraph (1), the Comptroller shall notify the Commissioner or the Director, as the case may be, of the request; and such notice shall act as an injunction with respect to the expenditure or other activity which is the subject of the request, until the Comptroller General makes a ruling on the legality of such expenditure or other activity.

"(b) The Comptroller General shall compile such data as are necessary to carry out his functions under subsection (a) and shall report to the Congress at such times as he deems appropriate his findings with respect to such program and his recommendations for such modifications in existing laws, regulations, procedures, and practices as will in his judgment best serve to carry out effectively and without duplication the policies set forth in education legislation relative to such program.

"(c) In order to enable the Comptroller General to carry out his functions under this section, the following sources of funds shall be available to the Comptroller General:

"(1) any funds appropriated to the Comptroller General to enable him to carry out such of his functions as may be authorized by law;

"(2) any funds appropriated pursuant to section 403 (a) to any agency in the Education Division or to the Assistant Secretary which were not appropriated for another purpose;

"(3) any funds made available by agreement between the Comptroller General and the National Commission on Education Policy Planning and Evaluation to assist the Commission in carrying out its functions or by agreement with the Committee on Education and Labor of the House of Representatives or the Committee on Labor and Public Welfare of the Senate.

"Subpart 2—Appropriations

"ADVANCE FUNDING

"SEC. 441. In order to afford State, local, and Federal officials concerned with the availability of Federal financial assistance with applicable programs, appropriations for grants, contracts, or other payments under any applicable program are authorized to be included in the appropriation Act for the fiscal year preceding the fiscal year for which they are available for obligation. In order to effect a transition to this method of timing appropriation action, the preceding sentence shall apply notwithstanding that its initial application under such program will result in the enactment in the same year (whether in the same appropriation Act or otherwise) of two separate appropriations, one for the then current fiscal year and one for the succeeding fiscal year.

"AVAILABILITY OF APPROPRIATIONS ON AN ACADEMIC OR SCHOOL YEAR BASIS

"SEC. 442. Appropriations for any fiscal year to carry out any applicable program may, in accordance with regulations of the Assistant Secretary, be made available for expenditure by the beneficiaries under such program on the basis of an academic or school year basis which differs from the fiscal year for which such appropriation is made.

“CARRYOVER OF APPROPRIATED FUNDS

“SEC. 443. Notwithstanding any other provision of law, unless—

“(1) enacted in express and specific limitation of this section, or

“(2) there is an express limitation in an Act making appropriations with respect to this section,

any funds from appropriations to carry out any applicable program during any fiscal year ending prior to July 1, 1977, which are not expended obligated and expended prior to the end of the fiscal year for which such funds are appropriated shall, at the option of the beneficiaries of such program, remain, in accordance with regulations of the Assistant Secretary, available for obligation and expenditure during the fiscal year succeeding the fiscal year for which such funds were appropriated.

“AVAILABILITY OF APPROPRIATIONS; LIMITATIONS THEREON

“SEC. 444. (a) Notwithstanding any other provision of law, unless enacted in express and specific limitation of the provisions of this section, funds appropriated for any fiscal year to carry out any applicable program shall remain available, in accordance with the applicable statute, for obligation and expenditure until the end of such fiscal year.

“(b) There shall be no limitation on the use of funds appropriated to carry out any applicable program other than limitations imposed by the appropriate applicable statute; nor shall any funds appropriated to carry out an applicable program be allotted, apportioned, allocated, or otherwise distributed in any manner or by any method different from that specified or that for which provision is made in the appropriate applicable statute.

“(c) No officer of the United States shall make any expenditure under any applicable program unless such expenditure is authorized by an applicable statute.

“CONTINGENT EXTENSION OF PROGRAMS

“SEC. 445. (a) Unless the Congress in the regular session which ends prior to the beginning of the terminal fiscal year—

“(1) of the authorization of appropriations for an applicable program; or

“(2) of the duration of an applicable program for which there is no express authorization of appropriations;

either—

“(A) has passed or has formally rejected legislation which would have the effect of extending the authorization or duration (as the case may be) of that program; or

"(B) by action of either the House of Representatives or the Senate, approves a resolution stating that the provisions of this section shall no longer apply to such program;

such authorization or duration is hereby automatically extended for one additional fiscal year: *Provided,* That the amount appropriated for such additional year shall not exceed the amount which the Congress could, under the terms of the law for which the appropriation is made, have appropriated for such program during such terminal year.

"(b) (1) For the purposes of clause (A) of subsection (a), the Congress shall not have been deemed to have passed legislation unless such legislation becomes law.

"(2) In any case where the Commissioner is required under an applicable statute to carry out certain acts or make certain determinations which are necessary for the continuation of an applicable program, if such acts or determinations are required during the terminal year of such program, such acts and determinations shall be required during any fiscal year in which that part of subsection (a) which follows clause (B) thereof is in operation.

“PART C—GENERAL RULES FOR THE ADMINISTRATION OF EDUCATION PROGRAMS IN THE OFFICE OF EDUCATION

“APPLICABILITY

“SEC. 451. (a) The provisions of this part shall apply to any program for which the Commissioner has administrative responsibility, as provided by law or by delegation of authority, in accordance with law.

“(b) (1) For the purposes of this part—

“(A) the term ‘applicable program’ means any program to which this part, under the terms of subsection (a), is applicable; and

“(B) the term ‘applicable statute’ means (i) the Act, or the title, part, or section of the Act (as the case may be) which authorizes the appropriations for an applicable program, (ii) this part, and (iii) any other statute which, under its terms, expressly controls the administration of an applicable program.

“(2) The Civil Rights Act of 1964 shall (A) not be considered, for the purposes of this part, an applicable statute, but (B) shall be in full force and effect on the basis of the terms of that Act with respect to the administration of any applicable program.

“(3) No Act making appropriations to carry out an applicable program shall, for the purposes of this part, be considered an applicable program.

“DELEGATION OF AUTHORITY

“SEC. 452. (a) The Commissioner is authorized, except as is provided in section 412 (d), to delegate any of his functions under any applicable program, except the making of regulations, to any officer or employee of the Office of Education.

“(b) Upon making a delegation pursuant to subsection (a), the Commissioner shall give notice thereof by publication in the Federal Register.

“(c) The authority to delegate under subsection (a) shall not include the authority to redelegate delegated functions.

“THE USE OF THE SERVICES OF OTHER AGENCIES

“SEC. 453. In administering any applicable program. the Commissioner is authorized to use the services and facilities of any agency or institution in accordance with appropriate agreements, and to pay for such services and facilities on such terms as may be agreed upon.

“RULES: REQUIREMENTS AND ENFORCEMENT

SEC. 454. (a) Rules, regulations, guidelines, or other published interpretations or orders issued by the Office of Education, or by any official of such agencies, in connection with, or affecting, the administration of any applicable program shall contain immediately following each section, or other division of each such rule, regulation, guideline, interpretation, or order, citations to the particular section or sections of statutory law or other legal authority upon which such provision is based.

"(b) (1) No standard, rule, regulation, or requirement of general applicability prescribed for the administration of any applicable program may take effect until thirty days after it is published in the Federal Register.

"(2) During the thirty-day period prior to the date upon which such a standard, rule, regulation, or general requirement is to be effective, the Commissioner shall offer any interested party an opportunity to make comment upon, and take exception to, such standard, rule, regulation, or general requirement and shall reconsider any such standard, rule, regulation, or general requirement upon which comment is made or to which exception is taken.

"(3) If the Commissioner determines that the thirty-day requirement in paragraph (1) will cause undue delay in the implementation of a regulation, thereby causing extreme hardship for the intended beneficiaries of an applicable program, he shall notify the Committee on Education and Labor of the House of Representatives and the Committee on Labor and Public Welfare of the Senate. If both such committees adopt resolutions of agreement with the determination of the Commissioner, the Commissioner may waive such requirement with respect to such regulation.

"(c) All such rules, regulations, guidelines, interpretations, or orders shall be uniformly applied and enforced throughout the fifty States.

"PROGRAM CONSOLIDATION

"SEC. 455. (a) (1) Except in the case of a law which—

"(A) is an applicable statute, or

"(B) is enacted in express and specific limitation of the provisions of this paragraph,

no provision of any law shall be construed to authorize the consolidation of any applicable program with any other program.

"(2) No provision of any applicable statute shall be construed to authorize the consolidation of any applicable program with any other program unless provision for such a consolidation is expressly made thereby.

"(3) For the purposes of this subsection, the term 'consolidation' means any agreement, arrangement, or any other procedure which results in—

"(A) the commingling of funds derived from one appropriation with those derived from another appropriation, "(B) the transfer of funds derived from an appropriation to the use of an activity not authorized by the law authorizing such appropriation,

"(C) the use of practices or procedures which have the effect of requiring, or providing for, the approval of an application for funds derived from different appropriations according to any criteria other than those for which provision is made in the law which authorizes the appropriation of such funds, or

"(D) as a matter of policy, the making of a grant or contract involving the use of funds derived from one appropriation dependent upon the receipt of a grant or contract involving the use of funds derived from another appropriation.

"(b) No requirement or condition imposed by an applicable statute may be waived or modified, unless such a waiver or modification is expressly authorized by such statute or by a law expressly limiting the applicability of this paragraph.

"PAYMENTS

"SEC. 456. Payments pursuant to grants or contracts under any applicable program may be made in installments, and in advance or by way of reimbursement, with necessary adjustments on account of overpayments or underpayments, as the Commissioner may determine.

“PROHIBITION AGAINST FEDERAL CONTROL OF EDUCATION

“SEC. 457. No provision of any applicable statute shall be construed to authorize any department, agency, officer, or employee of the United States to exercise any direction, supervision, or control over the curriculum, program of instruction, administration, or personnel of any educational institution, school, or school system, or over the selection of library resources, textbooks, or other printed or published instructional materials by any educational institution or school system, or to require the assignment or transportation of students or teachers in order to overcome racial imbalance.

“LABOR STANDARDS

“SEC. 458. Except for emergency relief under section 7 of the Act of September 30, 1950 (Public Law 874, Eighty-first Congress), all laborers and mechanics employed by contractors or subcontractors on all construction and minor remodeling projects assisted under any applicable program shall be paid wages at rates not less than those prevailing on similar construction and minor remodeling in the locality as determined by the Secretary of Labor in accordance with the Davis-Bacon Act, as amended (40 U.S.C. 276a–276a–5). The Secretary of Labor shall have, with respect to the labor standards specified in this section, the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 and section 2 of the Act of June 13, 1934, as amended (40 U.S.C. 276c).

“ADMINISTRATION OF EDUCATION PROGRAMS AND PROJECTS

“SEC. 459. (a) (1) Each recipient of funds from a grant or contract under any applicable program shall keep such records as the Commissioner shall prescribe, including records which fully disclose the amount and disposition by such recipient of the proceeds of such grant, the total cost of the project or undertaking in connection with which such grant or contract is given or used, and the amount of that portion of the cost of the project or undertaking supplied by other sources, and such other records as will facilitate an effective audit.

“(2) The Assistant Secretary and the Comptroller General of the United States, or any of their duly authorized representatives, shall have access for the purpose of audit and examination to any books, documents, papers, and records of the recipients that are pertinent to the grant or contract received under any applicable program.

“(b) (1) Each State, local educational agency, institution of higher education, and other eligible applicant under any applicable program which desires to receive a grant, or make a contract, or receive other payments, under any applicable program for any fiscal year, shall submit to, and maintain on file with the Commissioner, a general application which shall apply for all applicable programs.

A) In the case of any State making a general application under paragraph (1) for a program involving a State plan for the administration of the program, such general application shall be in the form of a contractual agreement which provides for the submission by the State and approval by the Commissioner of an annual program plan with respect to the particular programs in which the State desires to participate and assurances—

"(i) that the State will, through a single State agency specified by the Commissioner with respect to each program, provide for such methods of administration as are necessary for the proper and efficient administration of the programs to which the general application applies;

"(ii) that the State will make provision for such fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of, and accounting for, Federal funds paid to the States under any applicable program;

"(iii) that the State will make provision for making such reports as the Commissioner may require to carry out his functions;

"(iv) that the State will follow such policies and use such methods and practices of administration as will insure that non-Federal funds will not be supplanted by Federal funds; and

"(v) the State will submit an annual program plan meeting the requirements of subparagraph (B).

"(B) The annual program plan submitted by any State for any fiscal year with respect to any program to which this paragraph applies shall—

"(i) be prepared and administered in a manner consistent with specific State plan requirements of the appropriate applicable statutes affecting the program for which the annual program plan is applicable;

"(ii) set forth a long-range program plan for the use of Federal funds under such program;

"(iii) set forth a statement describing the purposes for which Federal funds will be expended during the fiscal year for which the annual program plan is submitted; and

"(iv) comply in all other respects with the specific requirements of the appropriate applicable statutes.

"(3) In the case of any State, local educational agency, institution of higher education, and other eligible applicant making a general application under paragraph (1) for a program to which paragraph (2) does not apply, such general application shall be in the form of a contractual agreement which provides for—

"(A) such forms of administration, fiscal control and accounting procedures, reporting, and maintenance of effort as the Commissioner may require by regulation;

"(B) and assurance that the applicant will comply with the requirements of the appropriate applicable statutes.

"(c) (1) Whenever the Commissioner, after reasonable notice and an opportunity for hearing, finds that there has been a failure, by any recipient of funds under any applicable program, to comply substantially with the terms to which such recipient has agreed in order to receive such funds, the Commissioner shall notify such recipient that further payments will not be made to such recipient under that program until he is satisfied that such recipient no longer fails to comply with such terms. Until the Commissioner is so satisfied, no further payments shall be made to such recipient.

"(2) The terms of any application for funds under any applicable program shall constitute a contractual agreement between the Commissioner and the applicant. Such agreement shall be specifically enforceable by the Commissioner in any court of the United States.

"(3) If the Commissioner finds that the enforcement of paragraph (1) would defeat the purposes of the program involved and that enforcement of the terms to which the applicant agreed under paragraph (2) would more nearly accomplish such purposes, he shall use the enforcement procedure in paragraph (2) in lieu of withhholding payments under paragraph (1).

"(d) (1) (A) If any State has submitted an application for funds under any applicable program under which appropriations for such program are, by the applicable statute, allotted or apportioned among the States or under which the State (or local educational agencies in that State) is entitled to a portion of an appropriation therefor and the Commissioner disapproves such application, or if the Commissioner withholds payments to a State under paragraph (1) of subsection (c), that State shall be entitled to judicial review of the actions of the Commissioner under this paragraph.

"(B) (i) If any State, under circumstances qualifying for judicial review under this paragraph, desires judicial review of the Commissioner's action, such State may, within sixty days of such action, file with the United States Court of Appeals for the circuit in which such State is located a petition for review of such action. A copy of the petition shall be forthwith transmitted by the clerk of the court to the Commissioner. The Commissioner thereupon shall file in the court the record of the proceedings on which he based his action, as provided in section 2112 of title 28, United States Code.

"(ii) The findings of fact by the Commissioner, if supported by substantial evidence, shall be conclusive; but the court, for good cause shown, may remand the case to the Commissioner to take further evidence, and the Commissioner may thereupon make new or modified findings of fact and may modify his previous action, and shall certify to the court the record of the further proceedings. Such new or modified findings of fact shall likewise be conclusive if supported by substantial evidence.

"(iii) The court shall have jurisdiction to affirm the action of the Commissioner or to set it aside, in whole or in part. The judgment of the court shall be subject to review by the Supreme Court of the United States upon certiorari or certification as provided in section 1254 of title 28, United States Code.

"(2) (A) In the case of any applicable program under which local educational agencies receive Federal funds through State educational agencies actions of such State agencies with respect to the approval of applications of local educational agencies and with respect to State administration of such program, shall be subject to administrative review by the Commissioner. The Commissioner shall, by regulation, establish procedures for administrative review of State educational agency actions to which the preceding sentence applies.

“(B) Any local educational agency which is dissatisfied with an administrative review under subparagraph (A) shall qualify for and be entitled to judicial review under subparagraphs (B) of paragraph (1) in the same manner as if such agency were a State.

“(3) Any person or agency who is aggrieved by any action or failure of action by the Commissioner (or by any person or agency acting for the Commissioner) under any applicable program shall be entitled to an administrative review by the Commissioner of such action or failure of action. The Commissioner shall, by regulation, establish procedures for administrative review in order to carry out the terms of the preceding sentence.

“AUTHORITY TO VEST TITLE TO EQUIPMENT

“Sec. 460. The authority of the Commissioner to make a grant to or contract with a local educational agency or State educational agency under any applicable program, shall include authority, whenever he determines that it would be in the public interest, to vest title to equipment purchased with grant or contract funds in such agency (or waive accountability to the United States for such equipment) without further obligation to the Government or on such terms or conditions as the Commissioner deems appropriate.

"PARENTAL INVOLVEMENT AND DISSEMINATION

"SEC. 461. In the case of any applicable program in which the Commissioner determines that parental participation at the State or local level would increase the effectiveness of the program in achieving its purposes, he shall promulgate regulations with respect to such program setting forth criteria designed to encourage such participation. If the program for which such determination is made provides for payments to local educational agencies, applications for such payments shall—

"(1) set forth such policies and procedures as will insure that programs and projects assisted under the application have been planned and developed, and will be operated, in consultation with, and with the involvement of parents of, the children to be served by such programs and projects;

"(2) be submitted with assurance that such parents have had an opportunity to present their views with respect to the application; and

"(3) set forth policies and procedures for adequate dissemination of program plans and evaluations to such parents and the public.

"USE OF FUNDS WITHHELD FOR FAILURE TO COMPLY WITH OTHER PROVISIONS OF FEDERAL LAW

"SEC. 462. At any time that the Commissioner establishes an entitlement, or makes an allotment or reallotment to any State, under any applicable program, he shall reduce such entitlement, allotment, or reallotment by such amount as he determines it would have been reduced, had the data on which the entitlement, allotment, or reallotment is based excluded all data relating to local educational agencies of the State which on the date of the Commissioner's action are ineligible to receive the Federal financial assistance involved because of a failure to comply with title VI of the Civil Rights Act of 1964. Any appropriated funds which will not be paid to a State as a result of the preceding sentence may be used by the Commissioner for grants to local educational agencies of that State in accordance with section 405 of the Civil Rights Act of 1964.

“PART D—ADVISORY COUNCILS

“DEFINITIONS

“SEC. 471. As used in this part, the term—

“(1) ‘advisory council’ means any committee, board, commission, council, or other similar group (A) established or organized pursuant to any applicable statute, or (B) established under the authority of section 474; but such term does not include (i) State advisory councils or commissions established pursuant to any such statute, or (ii) any Commission, Council, or Board established by the express terms of this title;

“(2) ‘statutory advisory council’ means an advisory council established by, or pursuant to, an applicable statute to advise and make recommendations with respect to the administration or improvement of an applicable program or other related matter;

“(3) ‘nonstatutory advisory council’ means an advisory council which is (A) established under the authority of section 474, or (B) established to advise and make recommendations with respect to the approval of applications for grants or contracts as required by an applicable statute;

“(4) ‘Presidential advisory council’ means a statutory advisory council, the members of which are appointed by the President;

“(5) ‘Secretarial advisory council’ means a statutory advisory council, the members of which are appointed by the Secretary; and

“(6) ‘Commissioner’s advisory council’ means a statutory advisory council, the members of which are appointed by the Commissioner.

“ADVISORY COUNCIL MANAGEMENT

“SEC. 472. (a) There is established, within the office of the Assistant Secretary, an advisory council management unit which shall be responsible for providing managerial guidance to, maintain records for, providing personnel and assistance (in accordance with section 477(b)) to the budgets of advisory councils.

“(b) The advisory council management unit shall be subject to the general supervision of a management board composed of one person designated by and representing each statutory advisory council and one person designated by the Assistant Secretary.

“(c) There shall be a director of the advisory council management unit to whom the management board may delegate its functions under subsection (b). Such director shall be appointed, with the approval of the management board, by the Assistant Secretary.

“(d) The director of the advisory council management unit shall submit, not later than November 1 of each year, to the Assistant Secretary, the budget request of each advisory council together with such recommendations with respect to such request as the director may determine to be appropriate. The director shall also submit to the Assistant Secretary an estimate of the expenses of the operation of this part. The Assistant Secretary shall transmit to the Committees on Appropriations of the House of Representatives and the Senate the requests and estimates submitted to him under this subsection. The Assistant Secretary may include with the materials transmitted under the preceding sentence such comments and recommendations as he may deem appropriate.

"APPLICABILITY

"SEC. 473. No provision of any other law which is inconsistent with this part shall apply to this part unless such other law is enacted in specific and express limitation of this section.

"AUTHORIZATION FOR NECESSARY ADVISORY COUNCIL

"SEC. 474. (a) The Commissioner, with the approval of the Assistant Secretary, is authorized to create, and appoint the members of, such advisory councils as he determines in writing to be necessary to advise him with respect to—

"(1) the organization of the Office of Education and its conduct in the administration of applicable programs;

"(2) recommendations for legislation regarding education programs and the means by which the educational needs of the Nation may be met; and

"(3) special problems and areas of special interest in education.

"(b) Each advisory council created under the authority of subsection (a) shall terminate not later than one year from the date of its creation unless the Commissioner determines in writing not more than thirty days prior to the expiration of such one year that its existence for an additional period, not to exceed one year, is necessary in order to complete the recommendations or reports for which it was created.

"(c) The Commissioner shall include in his report submitted pursuant to section 480 a statement on all advisory councils created or extended under the authority of this section and their activities.

"MEMBERSHIP AND REPORTS OF STATUTORY ADVISORY COUNCILS

"SEC. 475. Notwithstanding any other provision of law unless expressly in limitation of the provisions of this section, each statutory advisory council—

"(1) shall be composed of the number of members provided by statute who may be appointed, without regard to the provisions of title 5, United States Code, governing appointment in the competitive service, and shall serve for terms of not to exceed three years, which in the case of initial members, shall be staggered; and

"(2) shall make an annual report of its activities, findings, and recommendations to the Congress not later than November 1 of each year.

The Commissioner shall not serve as a member of any such advisory council.

"COMPENSATION OF MEMBERS OF ADVISORY COUNCILS

"SEC. 476. Members of all advisory councils to which this part is applicable who are not in the regular full-time employ of the United States shall, while attending meetings or conferences of the advisory council or otherwise engaged in the business of the advisory council, be entitled to receive compensation at a rate fixed by the Commissioner, but not exceeding the rate specified at the time of such service for grade GS-18 in section 5332 of title 5, United States Code, including traveltime, and while so serving on the business of the advisory council away from their homes or regular places of business, they may be allowed travel expenses, including per diem in lieu of subsistence, as authorized by section 5703 of title 5, United States Code, for persons employed intermittently in the Government service.

"PROFESSIONAL, TECHNICAL, AND CLERICAL STAFF; TECHNICAL ASSISTANCE

"SEC. 477. (a) Presidential advisory councils are authorized to appoint, without regard to the provisions of title 5, United States Code, governing appointments in the competitive service, or otherwise obtain the services of, such professional, technical, and clerical personnel as may be necessary to enable them to carry out their functions, as prescribed by law.

"(b) The Assistant Secretary shall engage such personnel and technical assistance as may be required to permit Secretarial and Commissioner's advisory councils to carry out their function as prescribed by law.

"(c) Subject to regulations of the Assistant Secretary, Presidential advisory councils are authorized to procure temporary and intermittent services of such personnel as are necessary to the extent authorized by section 3109 of title 5, United States Code, but at rates not to exceed the rate specified at the time of such service for grade GS–18 in section 5332 of such title.

"MEETINGS OF ADVISORY COUNCILS

"SEC. 478. (a) Each statutory advisory council shall meet at the call of the chairman thereof but not less than two times each year. Nonstatutory advisory councils shall meet in accordance with regulations promulgated by the Commissioner with the approval of the Assistant Secretary.

"(b) Minutes of each meeting of each advisory council shall be kept and shall contain a record of the persons present, a description of matters discussed and conclusions reached, and copies of all reports received, issued, or approved by the advisory council. The accuracy of all minutes shall be certified to by the chairman of the advisory council.

“AUDITING AND REVIEW OF ADVISORY COUNCIL ACTIVITIES

“SEC. 479. (a) Each statutory advisory council shall be subject to such general regulations as the Assistant Secretary may promulgate respecting the governance of statutory advisory councils and shall keep such records of its activities as will fully disclosed the disposition of any funds which may be at its disposal and the nature and extent of its activities in carrying out its functions.

“(b) The Comptroller General of the United States, or any of his duly authorized representatives, shall have access, for the purpose of audit and examination, to any books, documents, papers, and records of each statutory advisory council.

“REPORT BY THE COMMISSIONER OF EDUCATION

“SEC. 480. (a) Not later than November 1 of each year, the Assistant Secretary shall submit a report on the activities of the advisory councils which are subject to this part to the Committee on Labor and Public Welfare of the Senate and the Committee on Education and Labor of the House of Representatives. Such report shall contain, at least, a list of all such advisory councils, the names and affiliations of their members, a description of the function of each advisory council, and a statement of the dates of the meetings of each such advisory council.

"(b) If the Commissioner determines that a statutory advisory council is not needed or that the functions of two or more statutory advisory councils should be combined, he shall include in the report a recommendation that such advisory council be abolished or that such functions be combined. Unless there is an objection to such action by either the Senate or the House of Representatives within ninety days after the submission of such report, the Commissioner is authorized to abolish such advisory council or combine the functions of two or more advisory councils as recommended in such report.

"PART E—AUTHORITY OF THE ASSISTANT SECRETARY FOR EDUCATION

"THE ASSISTANT SECRETARY'S ANNUAL REPORT

"SEC. 481. (a) The Assistant Secretary shall prepare and publish an annual report which, based on data and other information available to him from evaluations undertaken pursuant to applicable statutes and from the agencies in the Education Division, includes—

"(1) a statement on the condition of education in the Nation;

"(2) a report on developments in the administration, use, and effect of applicable programs; and

"(3) the activities of the Office of Education, the

National Institute of Education, and the National Center for Education Statistics.

"(b) The report required by subsection (a) shall include annual reports of the Commissioner, the Director of the National Institute of Education, and the Director of the National Center for Education Statistics.

"(c) The report required by subsection (a) shall be submitted to the Congress not later than December 1, of each year; and thereafter such report shall be generally made available to State and local educational agencies, and institutions of higher education, free of charge.

"COLLECTION AND DISSEMINATION OF INFORMATION

"SEC. 482. (a) The Assistant Secretary shall—

"(1) prepare and disseminate to State and local educational agencies and institutions information concerning applicable programs and cooperate with other Federal officials who administer programs affecting education in disseminating information concerning such programs;

"(2) inform the public on federally supported education programs; and

"(3) in connection with his authority under section 432, collect data and information on applicable programs for the purpose of obtaining objective measurements of the effectiveness of such programs in achieving their purposes.

"(c) The Assistant Secretary is authorized to enter into contracts with public and private agencies, institutions, organizations, associations, and with individuals to carry out his functions under this section.

"CATALOG OF FEDERAL EDUCATION PROGRAMS

"SEC. 483. The Assistant Secretary shall prepare and make available in such form as he deems appropriate a catalog of all Federal education assistance programs whether or not such programs are administered by agencies in the Education Division. The catalog shall—

"(1) identify each such program, and include the name of the program, the authorizing statute, the specific Federal administering officials, and a brief description of such program;

"(2) set forth the availability of benefits and eligibility restrictions in each such program;

"(3) set forth the budget requests for each such program, past appropriations, obligations incurred, and pertinent financial information indicating (A) the size of each such program for selected fiscal years, and (B) any funds remaining available;

"(4) set forth prerequisities, including the cost to the recipient of receiving assistance under each such program, and any duties required of the recipient after receiving benefits;

"(5) identify appropriate officials, in Washington, District of Columbia, as well as in each State and locality (if applicable), to whom application or reference for information for each such program may be made;

"(6) set forth the application procedures;

"(7) contain a detailed index designed to assist the potential beneficiary in identifying all education assistance programs related to a particular need or category of potential beneficiaries;

"(8) contain such other program information and data as the Assistant Secretary deems necessary or desirable in order to assist the potential program beneficiary to understand and take advantage of each Federal education assistance program; and

"(9) be transmitted to Congress with the Assistant Secretary's annual report.

"TECHNICAL ASSISTANCE

"SEC. 484. (a) For the purpose of carrying out more effectively Federal education programs, the Assistant Secretary is authorized, upon request, to provide advice, counsel, and technical assistance to State educational agencies, institutions of higher education, and, with the approval of the appropriate State educational agency, elementary and secondary schools—

"(1) in determining benefits available to them under Federal law;

"(2) in preparing applications for, and meeting requirements of applicable programs;

"(3) in order to enhance the quality, increase the depth, or broaden the scope of activities under applicable programs; and

"(4) in order to encourage simplification of applications, reports, evaluations, and other administrative procedures.".

(b)(1) The Higher Education Act of 1965 is amended by striking out that part thereof which appears between sections 1203 and 1205 and inserting in lieu thereof the following:

"FUND FOR THE IMPROVEMENT OF POSTSECONDARY

"Sec. 1204. (a) There is established in the Treasury a separate fund for the improvement of postsecondary education (hereafter in this section referred to as the 'fund') which shall, in accordance with the provisions of this section, be available to the Assistant Secretary, without fiscal year limitation, as a fund for the purpose of making grants to, and contracts with, institutions of higher education to improve postsecondary educational opportunities by enabling such institutions to—

"(1) encourage the reform, innovation, and improvement of postsecondary education, and provide equal educational opportunity for all;

"(2) create institutions and programs involving new paths to career and professional training, and new combinations of academic and experimental learning;

"(3) establish institutions and programs based on the technology of communications;

"(4) carry out in postsecondary educational institutions changes in internal structure and operations designed to clarify institutional priorities and purposes;

"(5) design and introduce cost-effective methods of instruction and operation;

"(6) introduce institutional reforms designed to expand individual opportunities for entering and reentering institutions and pursuing programs of study tailored to individual needs;

"(7) introduce reforms in graduate education, in the structure of academic professions, and in the recruitment and retention of faculties; and

"(8) create new institutions and programs for examining and awarding credentials to individuals, and the introduction of reforms in current institutional practices related thereto.

"(b) No grant shall be made or contract entered into under subsection (a) for a project or program with any institution of higher education unless it has been submitted to each appropriate State Commission established under section 1202, and an opportunity afforded such State Commission to submit its comments and recommendations to the Assistant Secretary.

"(c) The Assistant Secretary is authorized and directed to delegate his functions under this section to the National Institute of Education. The National Institute of Education is hereby authorized, notwithstanding the terms of the second sentence of section 413 (b) (1) of the General Education Provisions Act, to be the delegate of the Assistant Secretary for the purposes of this section.

"(d) (1) During the period beginning July 1, 1972, and ending June 30, 1977, there is authorized to be appropriated, in the aggregate $20,000,000: *Provided*, That no funds shall be appropriated pursuant to this paragraph for any fiscal year unless, prior to the beginning of such fiscal year or prior to the date on which the Committee on Appropriations of the House of Representatives orders to be reported a measure making appropriations for the purposes of this section, whichever occurs first, the Committees on Appropriations of the House of Representatives and the Senate have received a resolution approved by the Committee on Education and Labor of the House of Representatives and by the Committee on Labor and Public Welfare of the Senate describing the projects to be funded under such appropriation in such form and manner as such committees may agree upon.

"(2) Funds appropriated pursuant to paragraph (1) shall be deposited in the fund and shall remain available for obligation and expenditure until expended.".

(2) Section 1201 of such Act is amended by adding at the end thereof the following:

"(m) The term 'Assistant Secretary' means the Assistant Secretary of Health, Education, and Welfare for Education as authorized by section 411(c) of the General Education Provisions Act.".

(c) (1) (A) The Act of July 26, 1954 (Public Law 531, Eighty-third Congress) is amended by striking out all after the enacting clause and inserting in lieu thereof the following: "That this Act may be cited as the 'Special Projects Act'.

"PURPOSE

"SEC. 2. It is the purpose of this Act to authorize the Commissioner of Education (hereinafter referred to as the 'Commissioner') to carry out special projects—

"(1) to experiment with new educational methods, techniques, and practices;

"(2) to meet special or unique education needs or problems; and

"(3) to place special emphasis on national education priorities.

"CONTRACTING AUTHORITY

"SEC. 3. The Commissioner is authorized, during the period beginning July 1, 1973, and ending June 30, 1976, to make contracts with public and private agencies, organizations, associations, institutions, and with individuals in order to carry out the purposes of this Act as set forth in section 2.

"APPROPRIATIONS

"SEC. 4. (a) (1) In order to enable the Commissioner to make contracts under section 3, there is hereby authorized, subject to subsection (b), to be appropriated to the Office of Education $100,000,000 for the fiscal year ending June 30, 1974, and each of the four succeeding fiscal years, except that the aggregate of the sums appropriated pursuant to this section for fiscal years beginning after June 30, 1972, and ending prior to July 1, 1977, shall not exceed $200,000,000.

"(2) Sums appropriated pursuant to paragraph (1) shall, notwithstanding any other provision of law, unless enacted in express limitation of this paragraph, remain available until expended.

"(b) No funds may be appropriated pursuant to this section for any fiscal year unless, prior to the beginning of such fiscal year, or prior to the date the Committee on Appropriations of the House of Representatives orders to be reported a measure making general appropriations for the Office of Education, for such fiscal year, whichever is earlier, the Committees on Appropriations of the House of Representatives and the Senate have received a resolution approved by the Committee on Labor and Public Welfare of the Senate and the Committee on Education and Labor of the House of Representatives of such committees specifically recommending individually an appropriation for each contract to be made with funds so appropriated.

"SPECIAL SURVEYS AND STUDIES

"Sec. 5. The Commissioner shall conduct special surveys and studies in the field of education upon request, by resolution, of the Committee on Education and Labor of the House of Representatives or the Committee on Labor and Public Welfare of the Senate.".

(B) The title of such Act of July 24, 1954, is amended to read as follows "An Act to authorize special projects, surveys, and studies by the Office of Education.".

(C) The amendments made by this subsection shall be effective on and after July 1, 1973.

(2) (A) Title III of the Elementary and Secondary Education Act of 1965 is amended—

(i) by striking out section 305(d);

(ii) by striking out section 306;

(iii) by striking out section 307(c); and

(iv) in the first sentence of section 301(b) by adding before the period at the end thereof the following: "and $508,250,000 for each of the succeeding fiscal years ending prior to July 1, 1978".

(B) The amendments made by subparagraph (1) shall be effective July 1, 1973, and shall be deemed to be enacted on June 30, 1973.

(3) (A) Title V of the Higher Education Act of 1965 (the Education Professions Development Act) is amended—

(i) by striking out part D;

(ii) by striking out that part of section 501(b) which precedes clause (1) and inserting in lieu thereof the following:

"(b) For the purpose of carrying out this title, there are authorized to be appropriated $200,000,000 for the fiscal year ending June 30, 1973, and $250,000,000 for the fiscal year ending June 30, 1974, and $300,000,000 for the fiscal year ending June 30, 1975: *Provided*, That of the amount so appropriated for any fiscal year—"

(iii) in clause (7) of such section, by striking out "or part D"; and

(iv) by striking out clause (4) of such section and redesignating clauses (5), (6), and (7), and all references thereto, as clauses (4), (5), and (6), respectively.

(d) (1) Except as otherwise provided in this subsection, the amendments made by this section shall be effective on the date of enactment of this Act, or on July 1, 1973, whichever is earlier.

(2) The Assistant Secretary of Health, Education, and Welfare for Education, the Commissioner of Education, and the Director of the National Institute of Education are authorized, during the sixty-day period beginning on the date of enactment of this Act, to take such actions as are necessary to effectuate such amendments.

(3) The Assistant Secretary of Health, Education, and Welfare provided for in section 411 of the General Education Provisions Act, as amended by this section, shall be deemed to be a continuation of such an Assistant Secretary provided for in section 402 of such Act prior to such amendments.

(4) The Office of Education and the Commissioner of

Education provided for in section 412 of the General Education Provisions Act, as amended by this section, shall be deemed to be a continuation of such Office and Commissioner provided for in such Act prior to such amendment.

(5) The National Institute of Education provided for in section 413 of the General Education Provisions Act, as amended by this section, shall be deemed to be a continuation of the National Institute of Education provided for in such Act prior to such amendment.

(6) (A) All functions of the Commissioner of Education which, prior to the enactment of this Act, related to the collection, analysis, and dissemination of statistics and reports on the condition of education in the Nation are hereby transferred to the National Center for Education Statistics, established under section 414 of the General Education Provisions Act, as amended by this section.

(B) (i) All functions of the Commissioner of Education related to research in the field of education and dissemination of research findings are hereby transferred to the National Institute of Education. In the case of any provision of statute which vests education research authority in the Commissioner of Education, such provision shall be deemed to refer to the Director of the National Institute of Education. The Commissioner and the Director shall make arrangements for the transfer of any appropriation to the Office of Education under such authority to the National Institute of Education.

(ii) The provisions of division (i) shall have effect, notwithstanding the limitation set forth in the second sentence of section 413(b)(1) of the General Education Provisions Act.

(C) The authority of the Commissioner of Education under section 427 of the General Education Provisions Act prior to the enactment of this Act, together with all funds deposited in any account under such section, is hereby transferred to the National Center for Education Statistics.

(D) The authority of the Commissioner of Education under sections 422, 423, and 424 of the General Education Provisions Act prior to the enactment of this Act is hereby transferred to the Assistant Secretary of Health, Education, and Welfare for Education under the authority of sections 481, 482, 483, and 484 of the General Education Provisions Act as amended by this section.

(E) Executive Order No. 1118 (October 16, 1964, 29 F.R. 14399) relating to coordination of Federal education programs and all amendments to such Executive Order, having been superseded by section 415 of the General Education Provisions Act as amended by this Act, is hereby repealed.

(e) The following provisions of law are hereby repealed:

(1) Sections 146 and 147 of title I of the Elementary and Secondary Education Act of 1965.

(2) Sections 203 (b) (1), (6), and (7); 206(b); 207; 305 (b) (2), (10), and (11), (e) (2) and (3); 305(f); 307(d); 504(b), (c), and (d) 524(b); 533(b) (3); 551(b); 552; 705(a), (4), (5), and (6); 707(b); and 801 (b), (c), (d), (e), (f), (g), (h), (i), (j), (k), and (l) of the Elementary and Secondary Education Act of 1965.

(3) Sections 401 (b); 402 (c); 303 (3), (7), (8), (12), (14), and (15) of the Act of September 30, 1950 (Public Law 874, Eighty-first Congress).

(4) Paragraphs (3), (4), (11), (12), and (13) of section 15 of the Act of September 23, 1950 (Public Law 815, Eighty-first Congress).

(5) The table of contents of, and sections 103 (a), (d), (e), (g), (h), (j), (k), (l), (m), (n), and (o); 1004; 1005; 1006; 1007; and 1009 of the National Defense Education Act of 1958.

(6) Sections 105(a) (4), (5), and (6); 108(b); 109; 202 (2) and (3); 304(c) (1) (B), (D), and (E); 520(a) (1), (6), (7), and (8); 520B(b); 520C; 603(5); 607(b); 608; 708 (a) (2) and (b); 782 (2) and (10); 1058(b); and 1201 (b), (c), (d), (e), (g), (h), (i), (k), and (l) of the Higher Education Act of 1965.

(7) Sections 108 (4), (6), (7), and (9); and

123(a) (11), (12), (13), (14), and (17), (c), and (d) of the Vocational Education Act of 1963.

(8) Sections 3 (2) and (7); 6(b) (1), (2), and (3), and (e) of the Library Services and Construction Act.

(9) Sections 303 (e), (g), and (i); 306(a) (2), (6), and (7); 308; and 311 (the second sentence only) of the Adult Education Act.

(10) Sections 602 (4), (5), (6), (7), (8), (9), (10), (11), (12), and (14); and 603 (c) and (d) of the Education of the Handicapped Act.

(11) Section 3(b) (3) (A) (iv), (v), and (vi); and the first sentence of section 6 of the Environmental Education Act.

(12) Sections 3(d) (1) (C) and (D); 6; and (7) of the Drug Abuse Education Act of 1970.

TITLE VIII—FINANCING ELEMENTARY AND SECONDARY EDUCATION

AMENDMENT TO THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965 RELATING TO THE FINANCING OF ELEMENTARY AND SECONDARY SCHOOLS

Sec. 801. (a) The Elementary and Secondary Education Act of 1965 is amended by striking out title IV thereof and inserting in lieu thereof the following:

"TITLE IV—GENERAL ASSISTANCE FOR EDUCATIONAL PURPOSES

"PART A—ASSISTANCE TO LOCAL EDUCATIONAL AGENCIES

"FINDING AND PURPOSE

"SEC. 401. (a) The Congress finds that, while the primary responsibility for providing elementary and secondary education rests with the States, the Federal Government has an obligation to assist the States in making available to all children an education of high quality.

"(b) It is therefore the purpose of this part to provide financial assistance to the States and to local educational agencies to assure that their resources when supplemented by this Federal assistance will be adequate to provide to all children an elementary and secondary education of high quality.

"GENERAL EDUCATION GRANTS TO LOCAL EDUCATIONAL AGENCIES

"SEC. 402. (a) (1) Each local educational agency shall be entitled to a general education grant for each fiscal year during the period beginning July 1, 1975, and ending June 30, 1977, in an amount computed pursuant to paragraph (2).

"(2) (A) The amount of the basic grant to which a local educational agency in any State is entitled shall be equal to the sum of—

"(i) $100 for every child in average daily membership in elementary and secondary schools in the school district of such agency, and

"(ii) $25 for each child determined for the purposes of this clause with respect to such agency under subparagraph (B).

"(B) (i) The number of children to be determined for the purpose of clause (ii) of subparagraph (A) with respect to any local educational agency shall be either—

"(I) if the Commissioner determines that satisfactory data for the purposes of this subparagraph (B) are available, the number of children who are aged five to seventeen, inclusive, in the school district of such agency and who are—

"($^{\alpha}$) in families having an annual income of less than $4,000, or

"($^{\beta}$) in families having an annual income in excess of $4,000 from payments under the program of aid to families with dependent children under a State plan approved under title IV of the Social Security Act; or

"(II) in any other case, the number of children described in clauses (I) ($^{\alpha}$) and (I) ($^{\beta}$) in the county or counties in which the school district of the

2

agency is located, in which case the terms of division (ii) (I) shall apply.

"(ii) (I) In any case where the amount of a general education grant for a local educational agency is determined under clause (II) of division (i), the number of children determined in a county or counties shall be allocated, under regulations of the appropriate State educational agency (which regulations shall be consistent with criteria established for the purpose of this subdivision by the Commissioner) among the local educational agencies of the county or counties, as the case may be, on an equitable basis.

"(II) In the case of local educational agencies which serve in all or in part the same geographical area, and in the case of a local educational agency which provides free public education for a substantial number of children who reside in the school district of another local educational agency, the appropriate State educational agency may, in accordance with regulations of the Commissioner, allocate the number of children determined under division (i) in such manner as will accomplish the purposes of such division.

"(iii) (I) For the purposes of this subsection—

"(a) the Commissioner shall determine the number of children described in clause (I) (a) of division (i) on the basis of the most recent satisfactory data available to him from the Department of Commerce; and

"(β) the Commissioner shall determine the number of children described in clause (I) (β) on the basis of caseload data available to him from the Secretary of Health, Education, and Welfare.

"(II) For the purposes of clause (α) of subdivision (I), the Commissioner is authorized and directed to enter into agreements with the Secretary of Commerce for the conduct of a special census not less frequently than one time during any four-year period. Funds appropriated to the Office of Education pursuant to section 403 of the General Education Provisions Act shall be available to reimburse the Secretary of Commerce for his expenses in carrying out any agreement entered into under this subdivision.

"(C) For the purposes of this paragraph, the term 'State' shall not include Puerto Rico, Guam, American Samoa, the Virgin Islands, or the Trust Territory of the Pacific Islands.

"(b) In addition to the amounts appropriated for general education grants for local educational agencies in the States under subsection (b) for any fiscal year, there is authorized to be appropriated for any fiscal year ending prior to July 1, 1980, an amount equal to 2 per centum of such amounts for that fiscal year for making general education grants to local educational agencies in Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands which shall be allocated and paid to such agencies by the Commissioner under the terms of this title in accordance with their respective needs for assistance under this section.

"APPLICATIONS FOR BASIC GRANTS

"SEC. 403. (a) (1) Any local educational agency which desires to receive for any fiscal year the general education grant to which it is entitled under section 402 must submit to the appropriate State educational agency an application which contains—

"(A) a statement of an assessment of the educational needs of the children enrolled in the schools of such agency and its plans for meeting those needs with funds provided under this title;

"(B) in the case of an application for any fiscal year beginning after July 1, 1976, an evaluation of the effectiveness, including objective measurements of educational achievement, of programs funded in the preceding fiscal year from funds provided under this title and from other Federal sources in meeting those needs;

"(C) such other information as the State educational agency and the Commissioner may reasonably require to enable such agency or the Commissioner, as the case may be, to perform their functions under this title;

"(D) an assurance that the agency will comply with the requirements of paragraph (2); and

"(E) assurances that Federal funds made available under this title will be so used as to supplement and, to the extent possible, increase the level of funds that would, in the absence of such Federal funds, be made available from non-Federal sources for the education of pupils participating in programs assisted under this title.

"(2) (A) Each local educational agency shall, for the benefit of children in the school district of such agency who are enrolled in private nonprofit elementary and secondary schools, provide, to the extent consistent with the number of such children, secular, neutral, or nonideological educational services, materials, and equipment. The amount expended by the local educational agency under the preceding sentence shall be at least equal to the amount received by such agency on the basis of the number of children in such private nonprofit schools under clause (i) of section 402 (a) (2) (A).

"(B) The provision of services under subparagraph (A) shall be provided by employees of the local educational agency under an agreement with the private school, or, if such agency, under the laws of the State, cannot so provide such services, then such services shall be provided under a contract of the local educational agency with a public or private nonprofit agency which is independent of any religious organization. Services made available under subparagraph (A) shall be under the supervision and control of a public agency.

"(C) The control of funds under this title and all services and equipment obtained with such funds remain under public supervision and control at all times.

"(b) The State educational agency shall not finally disapprove any application for funds under this title without first affording the local educational agency making such application reasonable notice and an opportunity for a hearing. The terms of an application approved under this section shall be considered a contract, to which the United States shall be deemed a party-in-interest, and such contract shall be specifically enforceable in the appropriate Federal District Court by the State educational agency approving the application and by the Commissioner.

"STATE PARTICIPATION

"SEC. 404. (a) Any State which desires that the local educational agencies of that State receive general education grants under this title shall submit through its State educational agency an application therefor at such time or times, in such form, and containing such information as the Commissioner may reasonably require by regulation. Such application shall be submitted to the Commissioner and shall set forth such policies, practices, procedures, and assurances as will insure that—

"(1) except for payments made under subsection (c), payments made to the State under this title will be used by local educational agencies in that State for education programs approved under applications submitted and approved under section 403;

"(2) the State educational agency will make to the Commissioner such reports as will enable the Commissioner to evaluate the effectiveness of funds paid to the State in improving the quality of education in the State.

"(b) (1) The Commissioner shall approve an application submitted under subsection (a) if it meets the requirements of such subsection; and he shall not finally disapprove any such application without first affording the State educational agency submitting such application with reasonable notice and an opportunity for a hearing.

"(2) Upon approval of an application from any State under this section for the fiscal year ending June 30, 1976, the Commissioner shall notify the Secretary of the Treasury of that State's eligibility under this title. Upon receipt of such notice, the Secretary of the Treasury is directed to pay out of the general funds in the Treasury to each individual within such State applying for relief an amount equal to the amount by which the real property taxes or rent constituting real property taxes upon that individual's homestead for the taxable year 1975 exceeds 5 per centum of that individual's income for that year. The Secretary of the Treasury shall prescribe such regulations as may be necessary to effectuate the provisions of this paragraph.

"(c) Each State which has an application approved under this section for any fiscal year ending prior to July 1, 1977, shall be entitled to reimbursement for the amount it expended during that fiscal year for the proper and efficient performance of its duties under this section, except that the maximum amount of any State's entitlement shall not exceed—

"(1) 1 per centum of the aggregate to the total payments paid to the State on behalf of local educational agencies in that State for general education grants for that year; or

"(2) $150,000 ($25,000 in the case of Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands), whichever is greater.

"PAYMENTS

"SEC. 405. (a) (1) The Commissioner shall, each fiscal year, pay to each State, on behalf of the local educational agencies in that State, the amount to which such local educational agencies are entitled for that fiscal year under this title.

"(2) From the funds paid to it under paragraph (1), each State educational agency shall, in accordance with regulations of the Commissioner, make payments to each local educational agency in that State which has had an application approved under section 403. The amount of the payment for any fiscal year for any local educational agency shall be the amount approved in its application therefor, except that such payment shall not exceed the amount to which it is entitled for that fiscal year.

"(3) (A) The total of the payments made under this subsection to any State for any fiscal year shall not exceed an amount equal to 10 per centum of the aggregate of the current expenditures for free public education of the State and the local educational agencies in that State for the preceding fiscal year.

"(B) If the aggregate of the amounts to which all local educational agencies in a State are entitled under this title for any fiscal year exceed the limitation set forth in subparagraph (A) with respect to that State, the amount to which each local educational agency is entitled under this title for that fiscal year shall be ratably reduced until such aggregate does not exceed such limitation.

"(b) The Commissioner, in accordance with, and under the terms of, regulations promulgated for the purposes of section 405 (c) and this subsection, pay to each State educational agency the amount to which it is entitled under section 405 (c).

"PART B—EQUALIZATION GRANTS TO THE STATES

"FINDINGS AND PURPOSE

"SEC. 421. (a) The Congress finds that the Federal Government has an obligation to assist the States in equalizing the resources available within the States so that an opportunity to obtain an education appropriate to individual need will be available to all children regardless of their place of residence within the States.

"(b) It is therefore the purpose of this part to provide financial assistance to the States to assist them in equalizing educational opportunity.

"PAYMENTS TO STATES

"SEC. 422. (a) During the period beginning July 1, 1976, and ending June 30, 1977, each State which meets the requirements of subsection (c) shall be entitled to a payment, in an amount determined under subsection (b), for each fiscal year.

"(b) (1) The amount of the payment to each State for any fiscal year shall be equal to the State's Federal percentage (determined for that year in accordance with paragraph (2)) of the amount that State pays to local educational agencies in the form of State financial assistance to local educational agencies for free public education.

"(2) (A) For the purposes of paragraph (1), the Federal percentage with respect to any State for any fiscal year shall be the percentage expressed by multiplying (i) that State's weighted per-pupil income factor for the preceding fiscal year by (ii) 0.10, except that the Federal percentage for no State shall be greater than 12 per centum nor less than 8 per centum.

"(B) For the purposes of subparagraph (A), a State's weighted per-pupil income factor shall be the quotient obtained by dividing (i) the national weighted per-pupil income by (ii) the weighted per-pupil income in the State.

"(C) For the purposes of subparagraph (B), the weighted per-pupil income of a State or of all the States, shall be the quotient obtained by dividing (i) the total personal and corporate income of the State or of all the States, as the case may be, by (ii) the number of weighted pupils in the State or in all of the States, as the case may be.

"(D) (i) The number of weighted pupils in a State shall be equal to the number of children in average daily membership in the schools of all the local educational agencies of that State, plus—

"(I) 20 per centum of the number of such children in grades seven through nine in such schools; and

"(II) 40 per centum of the number of such children in grades ten through twelve in such schools; and

"(III) 30 per centum of the number of such children in kindergarten in such schools; and

"(IV) 90 per centum of the number of such children who are mentally handicapped and for whom such schools are providing special education; and

"(V) 225 per centum of the number of such children who are physically handicapped and for whom such schools are providing special education; and

"(VI) 140 per centum of the number of such children who have specific learning disabilities and for whom such schools are providing special education; and

"(VII) 100 per centum of the number of such children who are educationally deprived and for whom such schools are providing special education.

"(ii) For the purposes of division (i), special education means a comprehensive educational program designed to meet the special educational needs of the children being served by such program.

"(iii) (I) In determining the number of children described in division (i), the Commissioner shall use the most recent satisfactory data available to him.

"(II) For the purpose of enabling the Commissioner to carry out his functions under this subparagraph, the Commissioner is authorized and directed to conduct a special census of children in average daily membership in the schools of the local educational agencies of the States. Such a special census shall be conducted not less frequently than one time during each four-year period.

"(3) The payment made to any State shall not exceed the product obtained by multiplying (A) that per centum of the national average weighted per-pupil expenditure which is equal to the Federal percentage of that State (as determined under paragraph (2) (A)), by (B) the number of weighted pupils in a State.

"(c) (1) In order to qualify for its payment under this section, a State shall submit to the Commissioner—

"(A) a statement of such plans, policies, procedures, and information as will assure the Commissioner that the State's form of financial assistance to local educational agencies for free public education is consistent with paragraph (2); and

"(B) an assurance that the State has implemented a policy of offering a rebate to each individual within that State applying for relief of the amount equal to the amount by which the real property taxes or rent constituting real property taxes upon that individual's homestead for the taxable year 1976, and each year thereafter, exceeds 5 per centum of his income for each such taxable year; and

"(C) such reports and other information as the Commissioner may require by regulation in order to enable him to carry out his functions under this section.

"(2) (A) In order to qualify for its payment under this section, a State must have established and begun to carry out a program of financial assistance to local educational agencies in that State which distributes such assistance among such local educational agencies in a manner consistent with a distribution plan developed by the Commissioner, which distribution plan shall be consistent with criteria set forth in subparagraph (A).

"(B) The criteria to be used by the Commissioner in developing a distribution plan are as follows:

"(i) The distribution plan shall distribute funds in such a manner as to seek to achieve equality of educational opportunity for all children in attendance at the schools of the local educational agencies of the State.

"(ii) The distribution plan shall be designed in such a manner that any two local educational agencies which make an equal effort to support free public education from local resources, which are reasonably available for such purpose, will have equal financial benefits, taking into consideration the relative educational needs of the children in attendance at the schools of such agencies.

"(iii) The distribution plan shall take into consideration the extent to which local educational agencies serve areas of high concentrations of children from low-income families and heavily urbanized areas.

"(iv) The distribution plan shall be consistent with such standards as may be required under the equal protection clause of the fourteenth article of amendment to the Constitution.

"(d) Funds paid to States under this section for any fiscal year on the basis of entitlements computed under subsection (b) shall be used for the provision of free public education by local educational agencies.

"(e) (1) Upon his determination that a State has qualified for its payment under this section for any fiscal year, the Commissioner shall pay to each State educational agency of that State the amount to which it is entitled under this section on the basis of entitlements computed under subsection (b).

"(2) In addition to the amounts paid to the States under paragraph (1) for any fiscal year, the Commissioner shall pay for any fiscal year to each State an amount equal to $33\frac{1}{3}$ per centum of the amount that State has rebated to individuals under the policy set forth in subsection (c) (1) (B).

“PART C—GENERAL PROVISIONS

“DEFINITIONS

“SEC. 441. The following definitions shall apply to terms used in this title:

“(1) The term ‘homestead’ means the dwelling, whether owned or rented, and so much of the land surrounding it, not exceeding one acre, as is reasonably necessary for the use of the dwelling or multipurpose building used as a home and a part of the land upon which it is built, and of a mobile home if used as a home. Such term does not include personal property such as furniture, furnishings, or appliances whether or not affixed to the realty.

“(2) The term ‘income’ means the sum of adjusted gross income as defined in the Internal Revenue Code of 1954, the amount of capital gains excluded from adjusted gross income, alimony, support money, nontaxable strike benefits, cash public assistance and relief, the gross amount of any pension or annuity, nontaxable interest, workmen’s compensation, and the gross amount of insurance payments in lieu of income from employment. Such term does not include gifts nor noncash relief, services, or other assistance supplied by a public agency.

“(3) The term ‘rent constituting real property taxes’ means an amount equal to 25 per centum of the gross rent actually paid in cash (or its equivalent) in any calendar year by an individual solely for the right of occupancy of his homestead in a calendar year.

"(4) The term 'gross rent' means rental paid solely for the right of occupancy of a homestead, exclusive of charges for any utilities, services, furniture, furnishings or personal property or appliances furnished by the landlord as part of the rental agreement whether or not expressly set out in the rental agreement.".

(b) Section 404 of the General Education Provisions Act is redesignated as section 405; and such Act is amended by inserting after section 403 the following new section:

"LIMITATIONS ON APPROPRIATIONS

"SEC. 404. (a) (1) The aggregate of the appropriations to the agencies in the Education Division and to the office of the Assistant Secretary for any fiscal year shall not exceed the limitations set forth for that fiscal year in paragraph (2).

"(2) (A) (i) Except as is provided in division (ii), the appropriations to which paragraph (1) applies—

"(I) shall not exceed $9,000,000,000 for the fiscal year ending June 30, 1974, and for the fiscal year ending June 30, 1975;

"(II) shall not exceed $9,500,000,000 for the fiscal year ending June 30, 1976;

"(III) shall not exceed $10,000,000,000 for the fiscal year ending June 30, 1977; and

"(IV) shall not exceed such amount as may thereafter be authorized by law and limited by this subparagraph.

"(ii) The limitations provided in this subsection shall not apply to uncontrollable expenditures under obligations created under part B of title IV of the Higher Education Act of 1965, parts C and D of title VII of such Act, and the Emergency Insured Student Loan Act of 1969: *Provided*, That the Commissioner shall not create obligations under any such authority for any fiscal year ending after June 30, 1975, which exceed, in the aggregate, the aggregate of such obligations created during the fiscal year ending June 30, 1972.

"(B) For the purposes of section 445, the limitations set forth in clause (III) of division (i) of subparagraph (A) and in subsection (b) for the fiscal year ending June 30, 1977, shall be deemed to be authorizations of appropriations.

"(b) Of the sums appropriated for any fiscal year to which subsection (a) applies—

"(1) not more than $3,850,000,000, in the aggregate, shall be for the purposes of the Elementary and

Secondary Education Act of 1965 (except title IV thereof), the Act of September 23, 1950 (Public Law 815, Eighty-first Congress), and title I of the Act of September 30, 1950 (Public Law 874, Eighty-first Congress), but not less than $1,800,000,000 shall be for the purposes of title I of the Elementary and Secondary Education Act of 1965, $90,000,000 shall be for the purposes of title II of the Elementary and Secondary Act of 1965, $147,000,000 shall be for the purposes of title III of such Act, $35,000,000 shall be for the purposes of title V of such Act, and $41,000,000 shall be for the purposes of title VII of such Act, and $650,000,000 shall be for payments on the basis of entitlements computed pursuant to section 3 of such Act of September 30, 1950;

"(2) not more than—

"(A) $2,500,000,000 shall be for payments under title IV of the Elementary and Secondary Education Act of 1965 for the fiscal year ending June 30, 1976, and

"(B) $5,000,000,000 shall be for payments under such title IV for the fiscal year ending June 30, 1977:

Provided, That no funds may be appropriated for payments under such title IV for any fiscal year unless the aggregate of the amounts appropriated for the purposes on which limitations are placed by clause (1) exceed $2,763,000,000: *And provided further,* That sums appropriated for such payments shall be subject to subsection (c);

"(3) not more than $600,000,000, in the aggregate, shall be for the purposes of the Vocational Education Act of 1963, the Adult Education Act, and title X of the Higher Education Act of 1965, but not less than $385,000,000 shall be for the purposes of such Act of 1963 and $52,000,000 shall be for the purposes of the Adult Education Act;

"(4) not more than $3,500,000,000, in the aggregate, shall be for the purposes of the Higher Education Act of 1965 (except title X thereof), the International Education Act of 1966, and the National Defense Education Act of 1958, but not less than—

"(A) the amount to which all students are entitled, as computed under section 411(a) of such Act of 1965, shall be for the purpose of making basic educational opportunity grants under subpart 1 of part A of title IV of such Act, and

"(B) $25,000,000 shall be for the purposes of title II of such Act of 1965;

"(5) not more than $100,000,000, but not less than $55,000,000, shall be for the purposes of the Library Services and Construction Act; and

"(6) not more than $350,000,000, in the aggregate, shall be for any purpose for which appropriations are otherwise authorized by law under an applicable statute.

"(c) (1) Of the amounts appropriated for payments under title IV of the Elementary and Secondary Education Act of 1965—

"(A) for the fiscal year ending June 30, 1976—

"(i) 33⅓ per centum thereof shall be for payments pursuant to section 404 (b) (2) of such title, and

"(ii) 66⅔ per centum thereof shall be for payments pursuant to section 405 (a) (1) of such title; and

"(B) for any succeeding fiscal year—

"(i) 15 per centum thereof shall be for payments pursuant to section 422 (e) (2) of such title;

"(ii) 42½ per centum thereof shall be for payments pursuant to section 405 (a) (1) of such title; and

"(iii) 42½ per centum thereof shall be for payments pursuant to section 422 (e) (1) of such title.

"(2) (A) If the amount available under clause (A) (i) of paragraph (1) for any fiscal year is insufficient to pay fully the rebates to which all individuals are entitled under such section 404 (b) (2), the amount to which each of such individuals is entitled shall be the amount which bears the same ratio to the amount such individual is entitled as computed under section 404 (b) (2) as the amount available under such clause (A) (i) bears to the aggregate of all the amounts that all individuals are entitled as so computed.

"(B) If the amount available under clause (A) (ii), clause (B) (i), clause (B) (ii), or clause (B) (iii) of paragraph (1) for any fiscal year is insufficient to pay fully the amount to which all States are entitled as computed under section 405 (a) (1), 422 (c) (2), and section 422 (e) (1), as the case may be, the amount to which such State shall be entitled shall be ratably reduced until the amounts of the entitlements equal the amounts available under the appropriate clauses."

(c) The amendments made by subsections (a) and (b) shall be effective on and after July 1, 1973.

93d CONGRESS
1st Session

S. 1319

IN THE SENATE OF THE UNITED STATES

March 22, 1973

Mr. Dominick introduced the following bill; which was read twice and referred to the Committee on Labor and Public Welfare

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A BILL

To strengthen education by consolidating certain elementary and secondary education grant programs through the provision of a share of the revenues of the United States to the States and to local educational agencies for the purpose of assisting them in carrying out education programs reflecting areas of national concern.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled That this Act may be cited as the "Better Schools Act of 1973".

FINDINGS AND PURPOSE

Sec. 2. (a) The Congress finds that, while public education is primarily the responsibility of the States and local

II

communities of this country, the Federal Government has a responsibility to assist them in meeting the costs of education in areas of special national concern. The Congress finds, however, that prior programs of Federal financial assistance for elementary or secondary education are too narrow in scope to meet the needs of State and local school systems.

(b) It is therefore the purpose of this Act to consolidate certain current programs of Federal assistance to elementary or secondary education into a system of Federal revenue sharing for education designed to assist in meeting such needs, to assist in encouraging innovation and development of new educational programs and practices, to assist in providing compensatory education for educationally deprived children, to assist in providing the special educational services needed by the physically or mentally handicapped, to encourage greater attention to the vital field of vocational education, to assure to children whose parents live on Federal property an education comparable to that given to other children, and to assist in providing State and local educational officials with the flexibility and responsibility they need to make meaningful decisions in response to the needs of their students.

AVAILABILITY OF APPROPRIATIONS

SEC. 3. Allotments to a State and payments to the Secretary of the Interior under this Act from appropriations for a fiscal year shall remain available for obligation and expenditure until the close of the next fiscal year.

ALLOTMENT AND USE OF SHARED REVENUES

SEC. 4. (a) From the sums appropriated for carrying out this Act for any fiscal year the Secretary shall allot to each State an amount equal to 60 per centum of the average per pupil expenditure in such State multiplied by the number of children in average daily attendance in the public elementary or secondary schools of such State during such year who resided on Federal property. The amount so allotted shall be available for any educational purpose.

(b) (1) Not to exceed 3 per centum of the remainder of such sums appropriated for such year shall be available to the Secretary—

(A) for allotment of such amounts as he deems appropriate to Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Trust Territory of the Pacific Islands, and

(B) for payment of such amounts as he deems appropriate to the Secretary of the Interior for the purpose of meeting the educational needs of Indian children served by schools operated by the Department of the Interior.

For the purpose of achieving an equitable distribution of such funds in the light of the educational needs of the children to be served, the Secretary shall prescribe criteria for the making of such allotments and payments. Amounts allotted or paid under this subsection may be used only for the educational purposes specified in subsections (c) (4) and (d) (2) of this section.

(2) For purposes of this section (except subsection (f)), section 5, and section 7, the term "State" does not include Puerto Rico, Guam, the Virgin Islands, American Samoa, and the Trust Territory of the Pacific Islands.

(c) (1) After application of subsections (a) and (b) for the fiscal year ending June 30, 1974, the Secretary shall allot to each State, from 60 per centum of the remainder of the sums appropriated for carrying out this Act for such year, an amount equal to the amount paid to such State under title I of the Elementary and Secondary Education Act of 1965 (except with respect to section 103 (a) (5) thereof) for the fiscal year ending June 30, 1973.

(2) After application of subsections (a) and (b), and, for the fiscal year ending June 30, 1974, paragraph (1), the Secretary shall allot to each State, from 60 per centum of the remainder of the sums appropriated for carrying out this Act for such year, an amount equal to

[illegible] the number of children aged five to seventeen, inclusive, in such State from families with incomes below the poverty level multiplied by

(B) the expenditure index (as defined by section 19(7)) for such State for such year,

except that

(C) for the fiscal year ending June 30, 1974, no State may be allotted an amount in excess of 150 per centum of the amount paid to such State for the fiscal year ending June 30, 1973, under title I of the Elementary and Secondary Education Act of 1965, and

(D) for any other fiscal year no State may be allotted an amount in excess of 150 per centum of the amount allotted to such State under this subsection for the preceding fiscal year.

(3) If for any fiscal year the amount available for allotment under paragraph (2) is less than the total required to make in full all of such allotments, the Secretary shall reduce the allotment of each State under such paragraph by the percentage by which the total amount available for allotment under such paragraph is less than the amount which would otherwise be required to be allotted under paragraph (2).

(4) The amount allotted to a State under this subsection shall be available only for programs and projects designed to meet the special educational needs, at the preschool or any other educational level, of educationally deprived children, and at least 75 per centum of such amount shall be

available only for instruction in basic language or mathematics skills.

(d) (1) After application of the provisions of subsections (a), (b), and (c) for a fiscal year, the Secretary shall allot to each State an amount which bears the same ratio to the remainder of the sums appropriated for carrying out this Act for such year as the number of children aged five to seventeen, inclusive, in such State bears to the number of such children in all of the States.

(2) Except as provided in section 7—

(A) 16 per centum of the amount allotted to a State under paragraph (1) shall be available only for programs and projects at he preschool or any other educational level designed to meet the special educational needs of handicapped children;

(B) 43 per centum of such amount shall be available only for vocational education activities; and

(C) 41 per centum of such amount shall be available only for supporting materials and services.

(e) In the event that any State—

(i) is not eligible to receive revenues shared under this Act for any fiscal year,

(ii) notifies the Secretary that it does not desire to receive such revenues, or

(iii) may not, because of clause (C) or (D) of subsection (c) (2), receive a portion of its allotment for such year,

the allotment (or portion thereof) of such State for such year under subsection (c) or (d) shall be available for reallotment from time to time, on such date or dates during such year as the Secretary may fix, to other States in proportion to the original amount of the allotments to such other States under such subsection for that year, but with such proportionate amount for any of such other States being reduced by the extent it exceeds the amount the Secretary estimates such State needs and will be able to use; and the total of such reductions shall be reallotted in the same manner among the States whose proportionate amounts were not so reduced. Any amount for a fiscal year so reallotted to a State under this subsection shall be deemed part of its allotment under such subsection (c) or (d), as the case may be, for such year.

(f) The amounts appropriated and allotted pursuant to this Act shall be paid to the States at such intervals and in such installments as the Secretary may determine. Such amounts paid for any purpose under this Act shall also be available for construction to carry out such purpose.

DISTRIBUTION OF SHARED REVENUES WITHIN EACH STATE

SEC. 5. (a) Each State shall pay to each of its local educational agencies for a fiscal year an amount equal to the sums allotted to such State under section 4 (a) for such year on account of the number of children in average daily attendance who resided on Federal property in the school district of such agency.

(b) (1) From the sums allotted to a State under section 4 (c) for the fiscal year ending June 30, 1974, such State shall pay to each of its local educational agencies an amount equal to the amount paid to each such agency for the fiscal year ending June 30, 1973, under title I of the Elementary and Secondary Education Act of 1965.

(2) From the remainder of such sums and from the sums allotted to such State under section 4 (c) for any other fiscal year, such State shall retain such amounts as it deems necessary for meeting the special educational needs of neglected or delinquent children and migratory children of migratory agricultural workers, except that the amount retained by such State under this paragraph for any fiscal year shall not exceed an amount equal to the expenditure index for such State for such year multiplied by the number of such children in such State during such year.

(3) From the remainder of the sums allotted to such State under section 4 (c) for a fiscal year and not paid to any local educational agency under paragraph (1) nor retained under paragraph (2), such State shall pay to each of its local educational agencies which has more than five thou-

sand children aged five to seventeen, inclusive, from families with incomes below the poverty level, or has more than 15 per centum of the total enrollment of its schools consisting of such children, an amount equal the product of—

(A) the expenditure index for such State for such year multiplied by,

(B) the number of such children from such families in the school district of such agency,

less any amount paid to such agency under paragraph (1).

(4) If for any fiscal year the portion of the sums allotted to a State under section 4(c) and available for payments under paragraph (3) of this subsection are insufficient to make the payments to all local educational agencies required by such paragraph, such State shall reduce the payment to each local educational agency under such paragraph by the percentage by which such portion of the sums so allotted and available is less than the total of the payments required by such paragraph for all such agencies.

(5) If the allotment to such State under section 4(c) for any fiscal year exceeds the amounts required under paragraphs (1), (2), and (3) of this subsection, such State shall rank all of its local educational agencies which are not eligible for payments for such year under paragraph (3) by the number of children in the school district of each such agency aged five to seventeen, inclusive, from families with

incomes below the poverty level, or, if such State so elects, by the percentage which the number of such children in each such district is of the total number of children aged five to seventeen, inclusive, in such district. Subject to clause (A) of paragraph (6) of this subsection, such State shall then make payments to such agencies as though they were eligible under paragraph (3), beginning with the agency or agencies with the largest number, or, if such State has so elected, the largest percentage, of such children from such families, and following such order of ranking until the remaining portion of such allotment is exhausted.

(6) No local educational agency may receive payments under this subsection for any fiscal year unless—

(A) the total amount of such payments for such year to such agency is at least $10,000,

(B) the State agency (designated under section 9(a)) determines, in accordance with such criteria as the Secretary may prescribe, that the services provided in each of the schools of such local agency with funds other than funds received under this Act will for such year be comparable with the services so provided in all of the other schools of such local agency,

(C) such local agency provides satisfactory assurance to the State agency (designated under section 9(a)) that if such State agency does not conduct such evaluations of programs and projects carried out with funds paid to such local agency under this subsection as the Secretary may require, such local agency will do so, and

(D) such local agency provides satisfactory assurance to the State agency (designated under section 9 (a)) that it will comply with the applicable provisions of this Act.

(7) Each local educational agency which receives a payment for a fiscal year under this section shall rank all of its schools by the number of educationally deprived children enrolled in such schools, or, if such agency so chooses, by the percentage which the number of such children enrolled in any school is of the total number of such children enrolled in such school, except that, upon the approval of the State agency designated under section 9 (a), such local educational agency may, for the purpose of such ranking, group its schools by the grade levels in such schools, each such group containing all of such schools having the same grade levels. Programs and projects carried out with payments received by such agency under this section for such year shall be designed in such a manner that the total cost (consistent with cost allocation criteria prescribed by the Secretary) of such programs and projects for such year shall be at least equal to the expenditure index for such State for such year

multiplied by the number of children served by such programs and projects. No educationally deprived children enrolled in any school of such agency may be served by such programs and projects unless all of the educationally deprived children enrolled in any other school (or, if the schools of such agency are ranked within groups by the grade levels in such schools, in any other school within such group) enrolling a larger number (or, if such agency has chosen to rank its schools by percentage, a larger percentage) of such children are served by such programs and projects.

(8) Any portion of an allotment which is not, but would be except for clause (A), (B), (C), or (D) of paragraph (6), paid to a local educational agency by a State shall be paid by such State, in accordance with its plan developed under section 9 (b), to other local educational agencies within such State to which funds are required to be paid under paragraph (1), (3), or (5) of this subsection for use in accordance with the provisions of section 4 (c) (4), except that no such other agency shall be paid more for any fiscal year pursuant to this subsection than 200 per centum of the amount required to be paid to it under paragraph (3) or (5) of this subsection for such year.

(9) If no local educational agency within such State which would otherwise receive payments for any fiscal year under this subsection has been determined, under clause (B)

of paragraph (6), to provide comparable services, the amount allotted to such State under section 4 (c) shall be available for reallotment from time to time, on such date or dates during such year as the Secretary may fix, to other States in proportion to the amounts originally allotted to such other States under such section, but with such proportionate amount for any of such States being reduced by the extent it exceeds the amount the Secretary estimates such State needs and will be able to use; and the total of such reductions shall be reallotted in the same manner among the States whose proportionate amounts were not so reduced. Any portion of an allotment which is not, but would be except for paragraph (8), paid to a local educational agency within a State, shall be reallotted to other States in the manner prescribed by the preceding sentence. The amount reallotted for any fiscal year under this subsection to any State may not exceed 200 per centum of the amount originally allotted to such State for such year under section 4 (c). Any amount reallotted to a State under this subsection for any fiscal year shall be deemed to be part of its allotment for such year under section 4 (c).

(c) The remainder of each State's allotment shall be available—

(1) for use, in accordance with the provisions of sections 4 and 7 and the plan developed under section

9(b), by the State agency designated under section 9(a); and

(2) for distribution, for use by them in accordance with the provisions of sections 4 and 7 and such plan, among the local educational agencies of such State on a basis reflecting the relative needs of each of such agencies for the types of assistance for which appropriations under this Act are available;

except that, in determining the relative needs of each of such agencies for the types of assistance for which appropriations under this Act are available, funds paid to such agencies under subsection (b) of this section shall not be taken into account.

DETERMINATION OF NUMBERS

SEC. 6. (a) For purposes of sections 4 and 5 of this Act, the Secretary shall make the required determinations of average daily attendance, average per pupil expenditure in the United States, State average per pupil expenditure, and numbers of children, and in doing so he shall use the most recent satisfactory data available to him, referrable with respect to data used for each purpose to the same time period for all jurisdictions. If the Secretary determines that satisfactory data regarding numbers of children are not available for any local educational agency, he shall determine the total numbers of children in the county or counties in which the school district of such agency is located, and the State agency designated under section 9(a) shall determine, pursuant to criteria prescribed by the Secretary, within such total the numbers of children in each school district within such county or counties.

(b) In determining numbers of children for purposes of section 5, a child from a family with an income below the poverty level who, during any year, is transferred by a local educational agency from a school in which he is enrolled and in which the majority of the children enrolled are from families with incomes below the poverty level to a school in which the minority of children enrolled are from such families, shall be counted twice for the following year.

(c) Except as the Secretary may provide by regulation, no information obtained under this section relating to any individual may be used for any purpose other than the purposes of this Act.

TRANSFERS AMONG PURPOSES

SEC. 7. (a) Thirty per centum of that portion of each State's allotment which is available for the purposes described in clause (A) or (B) of section 4(d)(2) may be made available for any of the other purposes described in subsection (c) or (d) of section 4.

(b) The 30 per centum limitations in subsection (a) may be exceeded if the State demonstrates to the satisfaction of the Secretary that such action will achieve more effectively the purposes of this Act.

PARTICIPATION OF NONPUBLIC SCHOOL CHILDREN

SEC. 8. (a) The State agency designated under section 9(a) shall provide that—

(1) except as provided in subsection (b), children enrolled in nonprofit private elementary or secondary schools will be given an opportunity to participate, on an equitable basis, in activities for which funds are made available under subsections (b), (c), and (d) of section 4; and

(2) title to and control of funds received under this Act and other property derived therefrom will remain in one or more public agencies.

(b) If the Secretary determines that provisions of State law prevent any State agency designated under section 9(a) from complying with subsection (a) of this section, the Secretary shall, if he finds that the State is otherwise eligible to participate in the program under this Act, permit such State to participate, but in such case he shall—

(1) arrange, by contract or otherwise, for children enrolled in the nonprofit private elementary or secondary schools within such State to receive, on an equitable basis, services similar to those provided from the funds made available under subsection (b), (c), or

(d) of section 4 to public schoolchildren within such State; and

(2) pay the cost thereof out of that portion of the allotment to such State for carrying out each such subsection.

STATE ADMINISTRATION

SEC. 9. (a) The chief executive officer of a State shall be the State agency responsible for administration (or supervision of the administration) of the program under this Act in such State, except that a specified single State agency shall be responsible for such administration (or supervision of administration) if such officer determines that the law of such State so provides. Section 204 of the Intergovernmental Cooperation Act of 1968 (42 U.S.C. 4214) shall apply to the preceding sentence.

(b) The State agency designated under subsection (a) shall, for each fiscal year, develop and publish a plan for the distribution of funds available therefor under section 5(b)(8) and under section 5(c), and for the expenditure of funds retained under section 5(b)(2) and under section 5(c)(1) for use by such State agency or distributed under section 5(c)(2) for use by local educational agencies. Such plan shall include estimates of the amounts which will be paid to each local educational agency in such State for such year (A) under subsection (a) or (b) of section 5, and

(B) from that portion of such State's allotment derived from clause (2) (A), (2) (B), or (2) (C) of section 4 (d). Such plan shall not finally be adopted by such State agency until a reasonable opportunity has been given to interested persons for comment thereon.

TREATMENT OF FEDERALLY CONNECTED CHILDREN

SEC. 10. The State agency designated under section 9 (a) shall provide that children attending school within the State who reside with a parent on Federal property will receive public elementary or secondary education on a basis comparable to that provided to other children in the State.

ELIGIBILITY

SEC. 11. In order to qualify for any payment under this Act from appropriations for any year, a State, or a local educational agency, must establish to the satisfaction of the Secretary that, with respect to such appropriations and payments therefrom, it will use such payments only for the purposes for which made and will otherwise comply with the applicable provisions of this Act and regulations thereunder.

REMEDIES FOR NONCOMPLIANCE

SEC. 12. (a) If the Secretary, after reasonable notice and opportunity for hearing to the State agency designated under section 9 (a), finds that a State has failed to comply substantially with any provision of this Act, the Secretary, until he is satisfied that there is no longer any such failure to comply, shall—

(1) terminate payments to such State under this Act, or

(2) reduce payments under this Act by an amount equal to the amount of such payments which were not expended in accordance with this Act, or

(3) limit the availability of payments under this Act to programs, projects, or activities not affected by such failure to comply.

(b) (1) In lieu of, or in addition to, any action authorized by subsection (a), the Secretary may, if he has reason to believe that a State has failed to comply substantially with any provision of this Act, refer the matter to the Attorney General of the United States with a recommendation that an appropriate civil action be instituted.

(2) Upon such a referral the Attorney General may bring a civil action in any United States district court having venue thereof for such relief as may be appropriate, including an action to recover revenues shared under this Act which were not expended in accordance with it, or for mandatory or injunctive relief.

(c) (1) Any State which receives notice, under subsection (a), of the termination, reduction, or limitation of revenues shared may, within sixty days after receiving such notice, file with the United States court of appeals for the circuit in which such State is located, or in the United States Court of Appeals for the District of Columbia, a petition for review of the Secretary's action. The petitioner shall forthwith transmit copies of the petition to the Secretary and the Attorney General of the United States, who shall represent the Secretary in the litigation.

(2) The Secretary shall file in the court the record of the proceeding on which he based his action, as provided in section 2112 of title 28, United States Code. No objection to the action of the Secretary shall be considered by the court unless such objection has been urged before the Secretary.

(3) The court shall have jurisdiction to affirm or modify the action of the Secretary or to set it aside in whole or in part. The findings of fact by the Secretary, if supported by substantial evidence on the record considered as a whole, shall be conclusive. The court may order additional evidence to be taken by the Secretary, and to be made part of the record. The Secretary may modify his findings of fact, or make new findings, by reason of the new evidence so taken and filed with the court, and he shall also file such modified or new findings, which findings with respect to questions of fact shall be conclusive if supported by substantial evidence on the record considered as a whole, and

shall also file his recommendations, if any, for the modification or setting aside of his original action.

(4) Upon the filing of the record with the court, the jurisdiction of the court shall be exclusive and its judgment shall be final, except that such judgment shall be subject to review by the Supreme Court of the United States upon writ of certiorari or certification as provided in section 1254 of title 28, United States Code.

CIVIL RIGHTS

SEC. 13. Revenues shared under this Act shall be subject to title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and title IX of the Education Amendments of 1972 (20 U.S.C. 1681–1686).

ADVANCE FUNDING

SEC. 14. To the end of affording the responsible State, local, and Federal officers adequate notice of available Federal financial assistance under this Act, appropriations for carrying out this Act for any fiscal year are authorized to be included in the appropriation Act for the fiscal year preceding such fiscal year. In order to effect a transition to this method of timing appropriation action, the preceding sentence shall apply notwithstanding that its initial application will result in the enactment in the same year (whether in the same appropriation Act or otherwise) of appropriations for each of two consecutive fiscal years.

LABOR STANDARDS

SEC. 15. All laborers and mechanics employed by contractors and subcontractors in any construction which is assisted under this Act shall be paid wages at rates not less than those prevailing on similar construction in the locality as determined by the Secretary of Labor in accordance with the Davis-Bacon Act (40 U.S.C. 276a–276a–5). The Secretary of Labor shall have, with respect to such labor standards, the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (15 F.R. 3176; 64 Stat. 1267) and section 2 of the Act of June 13, 1934 (40 U.S.C. 276c).

ANNUAL REPORT

SEC. 16. The Secretary shall make an annual report to the President and the Congress pertaining to the effectiveness of assistance under this Act in meeting the educational needs of children and adults.

RECORDS, AUDITS, AND REPORTS

SEC. 17. In order to assure that revenues shared under this Act are used in accordance with its provisions, each State shall—

(1) use such fiscal, audit, and accounting procedures as may be necessary to assure (A) proper accounting for payments received by it, and (B) proper disbursement of such payments;

(2) provide to the Secretary and the Comptroller General of the United States access to, and the right to examine, any books, documents, papers, or records as he requires; and

(3) make such reports to the Secretary or the Comptroller General of the United States as he requires.

INTERSTATE AGREEMENTS

SEC. 18. In the event that agreements between States are necessary in order to realize the full benefit of provisions of this Act, the consent of Congress is hereby given to such States to enter into such agreements.

DEFINITIONS

SEC. 19. For purposes of this Act—

(1) The term "adult education" means services or instruction below the college level for individuals (A) who have attained the age of sixteen, (B) who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (C) who are not currently required to be enrolled in schools.

(2) The term "average per pupil expenditure" in the United States, or in any State, means the aggregate current expenditures of all local educational agencies in the United States, or in such State, as the case may be, for any fiscal year, plus any direct current expenditures by the States,

or such State, as the case may be, in which such agencies are located for the operation of such agencies during such year (without regard to the sources of funds from which either of such expenditures is made), divided by the aggregate number of children in average daily attendance to whom such agencies provided public education during such year.

(3) The term "construction" means the erection, acquisition, alteration, remodeling, or improvement of facilities, including the acquisition of land necessary therefor, and the cost of construction includes the cost of architect's fees.

(4) The term "current expenditures" means expenditures for public education, but not including expenditures for community services, capital outlay, and debt services, or any expenditures made from funds allotted under this Act.

(5) The term "educationally deprived children" means children who suffer from educational deprivation, as determined in accordance with such criteria as the Secretary may prescribe.

(6) The term "elementary school" means a day or residential school which provides elementary education, as determined under State law.

(7) The term "expenditure index" for any State means the higher of (A) .35 multiplied by the average per pupil expenditure for such State, and (B) .35 multiplied by two-thirds of the average per pupil expenditure in the United States.

(8) The term "family with an income below the poverty level" means a family with poverty status, as determined by the Secretary on the basis of criteria prescribed or approved by him.

(9) The term "Federal property" means real property which is owned by the United States or is leased by the United States, and which is not subject to taxation by any State or any political subdivision of a State or by the District of Columbia. Such term includes (A) real property held in trust by the United States for individual Indians or Indian tribes, and real property held by individual Indians or tribes which is subject to restrictions on alienation imposed by the United States, (B) for one year beyond the end of the fiscal year in which occurred the sale or transfer thereof by the United States, any property considered prior to such sale or transfer to be Federal property for the purposes of this Act, and (C) any school which is providing flight training to members of the Air Force under contractual arrangements with the Department of the Air Force at an airport which is subject to restrictions on alienation imposed by the Such term also includes any interest in Federal property (as defined in the foregoing provisions of this paragraph) under an easement, lease, license, permit, or other arrangement, as well as any improvements of any nature (other than pipelines or utility lines) on such property even though

such interests or improvements are subject to taxation by a State or political subdivision of a State or by the District of Columbia. Notwithstanding the foregoing provisions of this paragraph, such term does not include (D) any real property used for a labor supply center, labor home, or labor camp for migratory farmworkers, (E) any real property under the jurisdiction of the United States Postal Service and used primarily for the provision of postal services, or (F) any low-rent housing project held under title II of the National Industrial Recovery Act, the Emergency Relief Appropriation Act of 1935, the United States Housing Act of 1937, the Act of June 28, 1940 (Public Law 871 of the Seventy-sixth Congress), or any law amendatory of or supplementary to any of such Acts.

(10) The term "handicapped children" means mentally retarded, hard of hearing, deaf, speech impaired, visually handicapped, seriously emotionally disturbed, crippled, or other health impaired children who by reason thereof require special educational services.

(11) The term "local educational agency" means a public board of education or other public authority legally constituted within a State for either administrative control or direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or

such combination of school districts or counties as are recognized in a State as an administrative agency for its public elementary or secondary schools. Such term also includes any other public institution or agency having administrative control and direction of a public elementary or secondary school.

(12) The term "nonprofit", as applied to a school, means a school owned and operated by one or more nonprofit corporations or associations no part of the net earnings of which inures, or may lawfully inure, to the benefit of any private shareholder or individual.

(13) The term "revenues shared" means payments under this Act.

(14) The term "secondary school" means a day or residential school which provides secondary education, as determined under State law, except that it does not include any education provided beyond grade twelve.

(15) The term "Secretary" means (except as used in section 4(b)(1)(B)) the Secretary of Health, Education, and Welfare.

(16) The term "State" includes, in addition to the several States, the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands.

(17) The term "supporting materials and services"

means programs and projects described in section 4 (c) (4) or 4 (d) (2) (A); activities described in section 4 (d) (2) (B); the purchase of school textbooks, library resources, and educational equipment; the provision of supplementary educational centers and services, of school pupil personnel services, of adult education, and of school meals; the training or retraining of teachers, teacher aides, and other school personnel; the strengthening of State or local educational agency capabilities and of educational planning at the State or local level; and the administration at the State level of the program carried out under this Act.

(18) The term "vocational education" includes vocational or technical training or retraining (including field or laboratory work and remedial or related academic and technical instruction incident thereto and work-study programs for students who need the earnings from work in order to commence or continue their education) conducted as part of a program designed to prepare individuals for gainful employment as semiskilled or skilled workers or technicians or subprofessionals in recognized occupations and in new and emerging occupations or to prepare individuals for enrollment in advanced technical education programs, but excluding any program to prepare individuals for employment in occupations generally considered professional or which

require a baccalaureate or higher degree; and such term also includes vocational guidance and counseling in connection with such training or for the purpose of facilitating occupational choices; instruction related to the occupation or occupations for which the students are in training or instruction necessary for students to benefit from such training; job placement; and the training of persons engaged as, or preparing to become, teachers in a vocational education program or teachers, supervisors, or directors of such teachers.

EFFECTIVE DATE AND REPEAL OF PROGRAMS REPLACED BY THIS ACT

SEC. 20. (a) The preceding provisions of this Act shall be effective with respect to appropriations for fiscal years beginning after June 30, 1973, and effective with respect to such appropriations the following statutes and parts of statutes are repealed:

(1) title I of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 241a–241l);

(2) title II of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 821–827);

(3) title III of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 841–848);

(4) title V of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 861–870);

(5) part B of the Education of the Handicapped Act (20 U.S.C. 871–877);

(6) the Smith-Hughes Act (20 U.S.C. 11–15, 16–28);

(7) sections 3, 4, and 7 of Public Law 81–874 (20 U.S.C. 238, 239, and 241–1);

(8) title III of the National Defense Education Act of 1958 (20 U.S.C. 441–455);

(9) subpart 2 of part B of title V of the Higher Education Act of 1965 (20 U.S.C. 1108–1110c);

(10) the Vocational Education Act of 1963 (20 U.S.C. 1241–1391); and

(11) section 16 of Public Law 81–815 (20 U.S.C. 646).

(b) Effective with respect to appropriations for fiscal years beginning after June 30, 1973, the Adult Education Act is amended by—

(1) striking out "reserved in section 304(a) for the purposes of this section" in section 309(a) and inserting in lieu thereof "appropriated pursuant to section 312(a)"; and

(2) striking out sections 304, 305, 306, 307, 308, 310, and 314, and subsection (b) of section 312.

(c) Effective with respect to appropriations for fiscal years beginning after June 30, 1973, the Child Nutrition Act of 1966 (42 U.S.C. 1771–1785) is amended by—

(1) striking out sections 5 and 7;

(2) striking out “through 7” in section 6 and inserting “and 4” in lieu thereof;

(3) striking out “through 5” in section 11 and inserting “and 4” in lieu thereof; and

(4) striking out “section 4” in section 4(b) and inserting “section 11” in lieu thereof.

(d) Effective with respect to appropriations for fiscal years beginning after June 30, 1973, the National School Lunch Act (42 U.S.C. 1751–1761) is amended by—

(1) striking out sections 4, 5, 7, 8, and 10;

(2) (A) striking out “the amount apportioned by him pursuant to sections 4 and 5 of this Act and” in paragraph (2) of section 6 and (B) by striking out in such paragraph “sections 4, 5, and 7” and inserting in lieu thereof “section 4”;

(3) striking out “section 10” in the last sentence of section 9 and inserting “section 11” in lieu thereof;

(4) striking out subsection (d) of section 11 and inserting in lieu thereof the following: “(d) The Secretary shall certify to the Secretary of the Treasury from time to time the amounts to be paid to any State

under this section and the time or times such amounts are to be paid; and the Secretary of the Treasury shall pay to the State at the time or times fixed by the Secretary the amounts so certified. Payments to a State under this section may be made in advance or by way of reimbursement in accordance with procedures prescribed by the Secretary."

(5) striking out in paragraph (g) of section 11 ", including those applicable to funds apportioned or paid pursuant to section 4 or 5 but excluding the provisions of section 7 relating to matching,";

(6) striking out in section 11(h)(1) "to extend the school lunch program under this Act to every school within the State, and (C)"; and

(7) striking out paragraphs (4), (5), and (6) of section 12(d) and renumbering paragraph (7) as paragraph (4).

Senator **Pell**. It is with a sense of déjà vu that I open this hearing, for it was on October 27, 1971, that we sat in this building in a hearing on S. 1669, entitled the "Education Revenue Sharing Act of 1971," which was introduced during the 92d Congress.

However, as chairman of this subcommittee, I intend, just as I did a year and a half ago, to give a fair hearing to the administration's proposal. The statement I made then, though, is, I believe, equally applicable today. It reads:

> The bill proposes major changes in the manner in which the Federal Government would distribute Federal tax dollars for elementary and secondary education. It provides that some 30 current categories of aid be consolidated and funds for them be distributed by the States who would receive them from the Federal Government on a formula, block grant, basis.
>
> The Federal Government was motivated to become involved in aid to education largely out of its desire to overcome educational inequalities that existed across the Nation. Legislation was developed that designated certain target areas of need and these needs have been funded. Testimony to be received in these initial hearings may point to the need of some type of general aid to education legislation as a method to meet pressing national problems.
>
> Whatever may develop, we will want to be sure that basic target areas continue to be served and that national priorities will not suffer as a result of the manner in which aid is distributed.

I believe we should remember, too, that during the last set of hearings, only one nonadministration witness gave support for the bill, and he may have done so because he thought it would increase the scope of involvement of his own constituency.

What is even more important, and are subjects that I hope will be discussed during these hearings, are:

(*a*) The rationale utilized by the administration when it chose what programs would be folded into the revenue sharing; and

(*b*) On what basis the administration believes that revenue-sharing funds would be administered more efficiently and to the greater benefit of children, as opposed to the categorical scheme.

Finally, speaking personally, I really question the J. Walter Thompson label of "Better Schools Act." Along this same line, I do not see why I should not label the Education Act I introduced as "Excellent" or "Best Schools Act." I do not, however, believe this would be a good idea, and I do not intend to do so.

At this point I will keep the record open for any statements from absent Senators who may wish to make a statement. Senator Hathaway.

Senator **Hathaway**. No statement.

Senator **Pell**. Mr. Secretary, if you will proceed.

STATEMENT OF HON. CASPAR W. WEINBERGER, SECRETARY, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE, ACCOMPANIED BY STEPHEN KURZMAN, ASSISTANT SECRETARY FOR LEGISLATION; SIDNEY P. MARLAND, ASSISTANT SECRETARY FOR EDUCATION; AND JOHN OTTINA, COMMISSIONER OF EDUCATION-DESIGNATE

Secretary **Weinberger**. Mr. Chairman and members of the committee, we are pleased to appear before you today to discuss the administration's proposed Better Schools Act of 1973.

This is the third consecutive year that an education revenue-sharing proposal has been before the committee for your consideration.

This proposal is of major importance to elementary and secondary education, and of central concern to President Nixon in his efforts to reform and revitalize the structure of government in the United States.

In his 1973 state of the Union message on human resources the President declared:

> Rather than stifling initiative by trying to direct everything from Washington, Federal efforts should encourage State and local governments to make those decisions and supply those services for which their closeness to the people best qualifies them.

He went on to say that:

> 1973 must be a year of decisive action to restructure Federal aid programs for education. Our goal is to provide continued Federal financial support for our schools while expanding State and local control over basic educational decisions.

The concept of revenue sharing is not new: it was advocated by both Presidential candidates in 1964 and in both major party platforms in 1968. What is new and revolutionary is that this administration has enunciated an overall strategy—embracing general return of tax revenues to the State and special revenue sharing in a number of areas of special national concern. In each of these proposals, we evoke the spirit and the substance of self-determination—to preserve it where it exists, to strengthen it where it is weak, and to create the conditions for its reemergence where it has disappeared.

Self-determination is the hallmark of revenue sharing. The first step—general revenue sharing—has already been taken by the passage of Public Law 92–512, the State and Local Fiscal Assistance Act of 1972. This legislation is designed to provide needed financial assistance to States and localities faced with demands for services.

Recipient State governments may use their shared revenues for any purpose; local governments may apportion their funds among the statutorily designated "priority expenditures" on the basis of the highest priorities of their citizens. They are no longer caught in the Federal straitjacket which assumes that what is good for one State is equally beneficial to another.

Although education is not included as a "priority expenditure" for local governments under general revenue sharing, it is a permissible use of State government funds. Indeed, a number of Governors indicate they intend to devote State-shared revenues to support their elementary and secondary education systems.

In addition to general revenue sharing, the President is proposing special revenue sharing designed to correct, either through legislation or administrative consolidation, the complex and often inefficient way Federal assistance is provided. These proposals, taken together, would consolidate more than 70 existing Federal categorical programs into four broad systems for sharing Federal revenues with States and localities in the fields of education, urban community development, manpower, and law enforcement.

The Better Schools Act exemplifies President Nixon's governmental reform strategy. It would redefine the Federal role in elementary and secondary education, a redefinition which has become increasingly necessary with the passage of each new categorical program.

TREND TOWARD CATEGORIZATION

A review of the history of Federal education programs shows that, as each problem area was discerned and defined, Congress responded with a separate education program responsive to the particular problem. This categorical approach dates back to 1917 and the Smith-Hughes Act, the first vocational education legislation. In 1958, the National Defense Education Act continued and expanded the categorical pattern of Federal aid. In response to national concern for strengthened curricula in science, mathematics, and modern foreign language, the NDEA established a series of programs designed to encourage more young people to pursue studies and acquire skills in fields considered vital to the national defense.

In subsequent years, a broader range of national educational needs was identified, and Congress passed in rapid succession a series of laws providing special help for the disadvantaged and the handicapped, and to train more teachers, to modernize vocational and technical education, and to provide more books, equipment, and technology.

Clearly, these programs have had a profound impact on America's educational system. But their numbers now threaten to swamp the existing structure completely. Adding to the problem is the fact that at least 26 other Federal agencies also administer categorical education programs.

In theory, these programs can significantly support the local superintendent's program. But guidelines, regulations, reporting and matching fund requirements ensnarl the educator in time-consuming trivia which are counterproductive to his primary goal—education.

With categorical programs, idiosyncrasies and anomalies are rampant. To describe just a few:

In district after district, equipment paid for by Federal Vocational Education funds cannot be used by general education students. Obviously, the waste in such a prohibition is significant—and absurd.

Larger districts may devote up to 4 man-months of time and labor to developing a package of proposals for as many as 60 separate programs. From this effort, our investigations indicate, only about two-thirds of the applications will be approved. And many other man-hours will be spent on followup paperwork generated by the "successful" two-thirds—hours that obviously could be better spent on more productive pursuits.

To gain the most from the categorical approach, districts must devote endless hours—and expense—to developing the art of grantsmanship. Obviously, the larger, wealthier districts have a built-in edge. But even apparently successful grantsmanship can backfire. There are numerous instances where districts have spent more on obtaining a grant than the grant turned out to be worth.

Under such conditions, efforts to achieve coordinated, comprehensive educational planning are doomed in advance. Individual community needs must play second fiddle to the dictates of this hydra-headed system. And ineffective, inefficient programs keep swallowing precious resources while new and creative ideas are starved of funds.

Problems with the categorical approach to Federal aid are equally apparent at the State level, where the paperwork required is staggering. States often establish separate units to do this work for federally funded programs and projects because of requirements for individual auditing and reporting. These units and their personnel are counterparts—reproductions on a smaller scale—of the Office of Education units that administer the programs.

State education officials frequently work more closely with various units of OE than with their own agencies. This means Federal funds are managed in isolation from State resources available for the same purposes from other federally assisted State programs.

CATEGORIZATION RESULTS IN WASTE

The present proliferation of categorical programs generates corresponding waste within the Office of Education itself. To give you some idea of the paperwork generated at the State and local levels which flows into the Office of Education, I have brought with me this morning the State plans of Rhode Island and Colorado for the program we propose to fold into the Better Schools Act. Several hundred men and women are assigned to reviewing the mounds of paper the Office of Education is confronted with when all the other States submit their equally massive and detailed reports. This constitutes an expenditure of man-hours which is largely wasted since:

Most of this review is essentially sterile—merely a matter of checking to see that all is in order.

Instead of supplying data which can be used to evaluate and improve a State's performance, the information provided frequently amounts to no more than a pedestrian collection of routine program descriptions, assurances that Federal requirements are being met, and voluminous statistics of doubtful worth.

The time required to shuffle these documents reduces the amount of time and manpower which the Office of Education might otherwise devote to worthwhile technical assistance to States and local educational agencies, just as the time spent preparing them reduces the capacity of State officials to contribute to statewide planning efforts.

It is remarkable that, despite these handicaps, most of the existing categorical programs have had some notable successes in achieving their original purpose. I believe there may always be a need for a few narrowly defined programs targeted at meeting special needs. But it is time we ceased creating a new program to meet every problem, even when programs already exist to meet it.

I might add it is time to terminate those programs that either have not worked or have already served their purpose.

It is time that the Congress ceased trying to serve as a National School Board, telling States and communities in great detail what they should spend and how.

It is time we returned to the historic principle of diversity and freedom in education that is as old as America itself.

HOW THE BETTER SCHOOLS ACT WOULD WORK

I want to turn now to the details of our legislation. The program I am about to discuss represents our basic proposal, one we believe will provide better delivery of Federal funds for elementary and secondary education. The formulas are complex and it is perfectly possible that this committee will identify desirable changes that should be made in them.

The specific formulas are not, however, the most important feature of our bill. Certainly one of its special characteristics is the amount of freedom it provides to States and local school districts to receive and use Federal funds in ways that best meet the educational needs of our children.

But the most important feature of our Better Schools Act is the comprehensive new program it would authorize for education of the disadvantaged. This program would:

(1) Concentrate spending to provide a substantial expenditure for each disadvantaged child served;

(2) Direct the funds to schools with high concentrations of eligible children; and

(3) Restrict the use of three-fourths of the funds to instruction in basic skills.

1. THE ALLOCATION FORMULA

The formula contains three allocation provisions: A provision which allocates funds for pupils whose parents reside on Federal property; a provision which allocates funds for the education of the disadvantaged; and a provision which allocates funds simultaneously for vocational education, education of the handicapped, and supporting services and materials.

I think perhaps if Dr. Ottina would run through these formulas and allocations from the Federal and State level, it might be helpful for the committee.

Mr. **Ottina**. Thank you, Mr. Secretary.

The rundown that I will present to the committee at this time is based upon the President's fiscal year 1974 request for education revenue sharing of $2,771 million, and all of the calculations subsequent are based upon that particular request. The first element that is accounted for is the payments for the SAFA "A" children.

Here what we do is take the actual count of number of children residing on Federal property and multiply it by 60 percent of the State average expenditure per pupil.

I believe you have some charts in your materials, these are a little bit hard to see. They are done in rather small print.

The two numbers that are different in this formula are 60 percent, and that is intended to account for loss of tax revenue at the local level, and if we look at the national distribution of revenue between State and local, we will find locals contribute something less than 60 percent. Here we are suggesting that we use the State average, 60 percent.

Senator **Dominick**. Excuse me. You are talking about a national average, is that right?

Mr. **Ottina**. Right.

Senator **Dominick**. You are not talking about school districts. What happens where the locals contribute 10 percent?

Mr. **Ottina**. They would under this proposal make out very well, Senator.

Senator **Dominick**. Why?

Mr. Ottina. Because we would be reimbursing them or paying them for 60 percent, and they would be receiving actually——

Senator Dominick. You have got it in reverse. I am talking about the local people who are residents of the particular area only contribute 10 percent to the budget. The other 90 percent comes from Federal impact payments. What are they going to do about it?

Mr. Ottina. We will be giving the locals 60 percent of the State average expenditure per pupil. It seems to me in the particular case you are describing it would be possible for the State to send as much as they had traditionally in the past to those districts since they are receiving more than their normal contribution from the Federal Government.

Senator Dominick. I am not talking about more. I am talking about a real cutback which this amounts to.

Mr. Ottina. If the locals are only supporting 10 percent of the cost of education, and this program is suggesting that the Federal Government give them 60 percent, it seems to me they would not be suffering.

Senator Dominick. Then I do not understand your formula.

Mr. Marland. I think the Senator is referring to the fact that the individual families earning the privileges of SAFA participation are contributing only that much to the local tax base.

Senator Dominick. That is right.

Mr. Marland. Not that the local tax base is only 10 percent of the total cost of schools, but it is the families affected who are of low income presumably or their property values are such that they constitute a small fraction of the local revenues.

Senator Dominick. That is right.

Mr. Marland. For that, Senator Dominick, we are trying to devise a formula that will be universal throughout the United States, and we are having to say that the differences should have to be made up between local and State resources, with 60 percent, however, coming from the Federal Government, however, which is relatively high, as you know.

Mr. Ottina. It would be 60 percent of the State average expenditure.

Under the current estimate, this would be approximately $194 million, which would be taken off the top, so to speak, of this $2.771 billion and this would be passed directly through to local education agencies, which are the units that are supporting the SAFA "A" children. Next, we would set aside up to 3 percent for the outlying territories, the Virgin Islands, Guam, American Samoa, and the Trust Territory of the Pacific Islands, and Puerto Rico, from what would be the remainder.

This would amount to approximately $75 million, which would leave a residue of $2.5 billion.

The formula next deals with the disadvantaged category. What we would do is set aside 60 percent of the remaining $2.5 billion, which in this case would amount to $1.5 billion for 1974. We would first calculate how to distribute it among the States.

Now the distribution differs among the States and within the State. So first let me describe how the State receives its share. First of all, we would calculate the number of poverty children that the State has. Our bill suggests that this be at the Secretary's discretion, but that the Orshansky definition be the basis on which poverty children are defined.

This definition takes into account two things that are presently not taken into account. One is the size of the family. In other words, the larger the family is, the higher the threshhold for poverty would be in terms of dollars. Second, the Orshansky criteria would take into account whether the family is an urban family or a rural family. We would then after we have taken into account the number of poverty children multiply by 35 percent the State average expenditure per child, and this number or this percentage is arrived at on the basis of our experiences that it requires a concentration of funds in order to deal with the problems of disadvantaged. Thirty-five percent representing approximately the level which we think is appropriate for this particular problem.

As you will see, that would vary in dollar amount from State to State. To account for those States who because their inability, not desire, to spend money for the education of their children, we are suggesting that if 35 percent of their average is less than 35 percent of two-thirds of the national average, that we would use whichever is larger.

If on the basis of the amount of money that is available and dollars calculated in such a manner each State does not receive its full funding, it would be prorated in proportion. We are suggesting that for fiscal year 1974 no State receive less than 100 percent of the funds it received in fiscal 1973 for title I payments, less a small portion that is earmarked for the handicapped, which will show up in one of the later areas.

The State would receive these funds and in its program concern itself with programs for migrants and for neglected and delinquents, and withhold those funds necessary for those two aspects, but in an amount not to exceed the basis of the per child funds.

Now with the remaining funds, it is proposed that the local education agencies be ranked into priority districts and other districts. Priority districts would be those districts that have 5,000 children that qualify, or 15 percent of their enrollment that qualifies them as disadvantaged, and they would be first paid for by the States or accounted for by the States. This means that all priority districts would be either fully accounted for first or that they would be prorated on the basis of number of poverty children that they would have. In this particular legislation we are suggesting that we would allow for the purpose of distribution from the State to the local education agencies counting of disadvantaged children, who are transferred from schools with high concentrations of children from poor families to schools with low concentrations of such children. We want to encourage that kind of activity and not penalize local education agencies from moving children for that purpose.

Now we have talked about poverty here, and in the distribution to the local education agency we are still talking about poverty.

If funds remain after all of the priority districts have been taken care of, the State would rank the remainder of its districts either on the basis of the number of priority children or the percent of priority children and then pay them on the basis of this rank of order.

We are suggesting that no local education agency receive payments less than $10,000, and again as we did with the States we are suggesting that for 1974 no local education agency would receive less than 100 percent of what it received for title I payments in 1973, less the handicapped provision.

Now we have gotten funds from the State to the local education agency and now the local education agency has some provisions that it must meet in getting the funds to the schools.

In terms of getting it to the schools, we are suggesting that instead of the criteria of poverty based upon family income, the local education agency could substitute measures such as tests of academic achievement. Seventy-five percent of the funds must be used for instruction in basic language or mathematical skills.

After distributing money for impact aid, for education of the disadvantaged and for the outlying areas, the funds remaining would be distributed to the States on the basis of their proportion of school children from the ages of 5 to 17, and they would be distributed as follows: 16 percent for the handicapped, 43 percent for vocational education, and 41 percent for supporting services.

Let me point out that the percentages, if you are accustomed to comparing them with our present allocation, will look different. The handicapped will look higher, that is because we have taken the set-asides that are presently in the disadvantaged and vocational education programs and included them in the handicapped portions, and we have correspondingly reduced the vocational education and disadvantaged portions by those amounts.

2. TRANSFERS AMONG PURPOSES OF ASSISTANCE

Now the local education agencies in the State may, if they wish, transfer 30 percent of the funds that are allocated to the State for handicapped or for vocational education and 100 percent of the funds that are in supporting services into any of the other areas, except impact aid.

Supporting services in terms of authorization provide for the broadest kind of expenditures, on the basis of a State determination of local needs.

Mr. **Weinberger**. Thank you. Those are the basic ways in which the formulas would operate, Mr. Chairman and members of the committee.

3. OPERATION OF THE PROGRAM

For each State which desires to participate under the act the chief executive officer, the Governor, is responsible for administering the shared revenues, except where he finds that under State law a specified single State agency is the agency responsible for such administration.

4. PARTICIPATION OF NONPUBLIC SCHOOL CHILDREN

The bill also provides that, except where prohibited by State law, the State would provide for the equitable participation of children enrolled in nonpublic elementary and secondary schools in the disadvantaged, handicapped, vocational, and supporting services areas. Where existing State law prevents the participation of nonpublic school children, the Secretary will arrange for those children to receive similar services and will pay for the services from the State's allotment.

Of course, title to and control of funds received and of equipment purchased under this act will remain in public hands.

5. CIVIL RIGHTS

In the civil rights area, the bill provides that revenues shared with States and local districts under the act will be subject to the nondiscrimination provisions of title VI of the Civil Rights Act of 1964 with regard to race, color, and national origin and title IX of the Education Amendments of 1972 with regard to sex.

REACTIONS TO THE BILL

Even before the details of this legislation were revealed, there was a volley of criticism about our proposal. In part, the opposition centers around some very real concerns which we are convinced are not justified, but which nevertheless are understandable.

For example, it has been claimed that the traditional Federal focus on providing special educational opportunities for the disadvantaged would be lost under our proposal. This is just not true.

The Federal commitment to the disadvantaged is maintained and even strengthened through the Better Schools Act. The bill prohibits shifting funds away from this purpose; it requires that all funds for the disadvantaged except those for State programs for migrants and the neglected or delinquent pass through directly to the local school district by formula; it requires full comparability on basic expenditures among schools within a district; and it defines "low-income family" so as to take into account local conditions, so that funds flow to districts most in need of them.

Another area of concern about the legislation involves civil rights protection. As I have just stated, we have provided that the nondiscrimination provisions of title VI of the Civil Rights Act and of title IX of the Education Amendments of 1972 will apply to programs and activities funded under this bill. We believe that this safeguard, along with others built into the bill, would provide full civil rights protection.

Some critics have argued that there is not enough money in the President's budget for this legislation. I think this indicates a misunderstanding of our proposal. It is not intended to be a general aid to education bill.

The President's budget for fiscal year 1974 contains a breakdown of the existing formula grant programs consolidated by this proposal. In proposing the Better Schools Act, we are proposing a process—a method of disbursing Federal assistance to elementary and secondary education—rather than a new categorical program with a fixed authorization. Related to this is the reaction that "present programs would be more effective if they were fully funded; then there would be no need for a bill to replace them."

At first glance this argument appears to have some appeal, but its appeal rests on a continuation of the current grant structure. It ignores the obvious complexities and difficulties which Federal categorical programs already pose for school administrators. In fact, full funding of the present programs would not eliminate the need for this proposal; it would become even more urgent than it already is if we are to save the elementary and secondary education system from strangulation by Federal redtape.

I might say a fair sized portion of additional funding would go into administration and preparation of the grants, the review of them, the automatic rejection of some, and the revision until we finally got it in such shape that it could be awarded and with a great deal of uncertainty attached to it.

Finally, some criticism of the legislation springs in large part from a conviction that State and local school districts simply are incapable of administering the shared funds responsibly. This conviction is, in my opinion, the natural if regrettable result of a self-fulfilling prophecy.

For too long, this Nation has operated from the viewpoint that State and local governments are too weak to carry public burdens. Then, to make sure the prophecy came true, Federal programs consistently undermined State and local governments. We think it is time for a different prophecy.

CONCLUSION

We have learned much in recent years, and the lessons of bureaucratic fragmentation in education programs should not be lost. Clearly, remedial action is an urgent priority if we are to make Federal aid to education more responsive and less cumbersome. We are seeking nothing less than a new definition of the relationship between the Federal Government and State and local governments—one which responds to present educational needs and anticipates the needs of the future.

The special revenue sharing approach which we will follow in education stems from a desire to serve people better, not to ignore the needs of those whom our programs were designed to serve. Our goal, as the President affirmed in his State of the Union Message on Human Resources, is "compassion that works—not simply compassion that means well."

We believe that the Better Schools Act will work, and work far better than the existing categorical bureaucratic mess which has grown from compassion which simply means well.

That, Mr. Chairman and members of the committee, completes the basic statement. We will be glad to try to take your questions.

Senator **Pell**. Thank you very much, Mr. Secretary. Dr. Ottina, I wonder if you could explain to us briefly the essential difference between this Revenue Sharing Act and the one that was submitted to the 92d Congress, and also if you could submit for the record a State-by-State allocation of appropriations under the two proposals?

Mr. **Weinberger**. Yes, I think we can do that later for you. We have most of that pretty well put through the various tables. I think the primary difference between the new bill and the one submitted in the 92d Congress would be in our attempt to deal with the 32 programs that are recommended for consolidation here. The major new factor here is the attempt to concentrate a critical mass of funds behind disadvantaged pupils. To some extent this will result in more money being [illegible] fewer people, but the fewer people will be more in need than those [illegible]red under the somewhat broadside approach of the past.

We have incorporated four features of the Equal Education Opportunity Act into this bill. We would, however, continue to operate the Emergency School Aid Act program as a separate project grant program because of the desirability of insuring that it retains a national priority.

Senator **Pell.** Essentially, as I understand it, the philosophy is pretty much the same as you proposed it. With 10 percent that would be able to move back and forth between these programs?

Mr. **Weinberger.** It varies. Mr. Ottina had a chart there. Thirty percent could be transferred from the handicapped and vocational education categories. We would have a transferability of 100 percent in the fifth broad area of supporting services and materials.

Senator **Pell.** So it would be varying between the programs. What would be the range?

Mr. **Ottina.** No transfer of funds would be allowed in the case of disadvantaged.

Mr. **Weinberger.** All those funds would have to go for the disadvantaged within that broad category. None of it would have to go into the narrow categories that are presently existing. I guess that is pretty much the same as last year.

Senator **Pell.** But the essential difference, in your view, betweeen this Revenue Sharing Act and the one of a year ago, is that you have more of an emphasis upon the economically disadvantaged; would that be true?

Mr. **Weinberger.** Yes; we are attempting to concentrate more funds, we are using newer census figures so there will be more of an up-to-date, realistic identification of poor children, we are attempting to get more funds behind each child, rather than spread it sort of thinly and perhaps not do as much good to anyone as we believe we can to the truly disadvantaged. I would say this bill is completely consistent with the basic instruction the President gave me when we were starting to work on the budget and that is that he felt that Federal funds to the greatest extent possible should be focused on the people most in need rather than being spread on a more scattered basis. This accounts not only for the recommendations here, but for a great many others in the budget.

Senator **Pell.** What I am probing for here is why do you believe this bill will fly? What are the differences that will generate support when the one that was sent up before last year had no popular support or drive behind it?

Mr. **Weinberger.** Let me just say we think the principle is still just as valid and that the earlier bill should have gone, should have flown. We think this is a better bill based on some of the refinements and new material, new methods of calculating poverty areas and more current census data. Dr. Marland will have perhaps a more detailed answer.

Mr. **Marland.** There is one overriding position which I think the administration believes in and which keeps us deeply concerned with [illegible]cing this idea, Senator Pell, and it is broadly as the Secretary has stated, the consolidation of grants. I think that we have been encouraged over the ensuing years since we first presented this idea before this committee with the responsiveness from the constituency that we serve that consolidation of grants is very, very desirable.

Now, almost anyone can differ with the specifics of it. As the Secretary declared in his testimony, the specific formula is open to considerable discussion and negotiation with the committee, because this is certainly not cast in bronze. But the principle that brings us back to you, sir, is that the condition of administering the infinite number of categorical programs now before us has become nearly intolerable. Therefore, it is rational that we ask for some form of grants consolidation.

Senator Pell. Incidently, which of those piles [indicating] is Colorado and which one is Rhode Island?

Mr. Marland. These are the State plans from Colorado. These are for Rhode Island.

You could multiply this stack by 50 just to get our files on these programs we would like consolidated, and this same kind of material is duplicated in 16,000 communities in our land engaged in responding to Federal initiatives in many of these areas.

Senator Pell. I would agree with you, but I think there is some way of saving the baby without throwing out the bath water. We should be able to simplify the process. We have an obligation in raising the money to make sure it is spent in accordance with Congress' intent. Maybe we should lower our tax base, which is a whole different thing, and let the States have a higher State tax base and pay for education.

Incidentally, on a local thing, I just received, as my colleagues did, some devastating news about the closing of bases which makes some of this impacted aid money academic, for if we do not have the bases in which the parents will be working, there is no eligibility. What will happen in communities like mine where the school systems depend on impacted aid. They will now find themselves without Federal installations, and without the tax revenue. Will HEW help in a situation of this sort?

Mr. Weinberger. Of course, the closing of bases, Senator, is partly a function of the fact that we are spending a great deal less money now on defense. We have fewer troops. We have the need for much smaller number of installations, and we have reduced substantially the defense activity. It is always an automatic part of almost every committee hearing, when we come up on domestic program that we are requested to increase the spending on that program by taking it out of defense. Now again the suggestion is that we take something out of defense. I gather from your use of the word "devastating" that there will be some opposition to that. But the simple fact of the matter is that we do have too big a base installation for the number of defense forces that we now have and need and for that reason it seems imminently desirable to reduce that base structure. This will account for part of the savings that the President has counted on in his budget as far as relocation problems are concerned. As far as transitional difficulties are concerned, the Department of Labor, our department, the Department of Defense, have plans as well as personnel to assist in this. But we cannot maintain, I think, an artificially large base structure for the purposes of insuring that the Federal Government continues to do everything it has ever done before.

Senator **Pell**. I would agree with you, except that 2,000 base facilities all around the world are being left, and the help is going there, while our own bases are being closed.

Mr. **Weinberger**. There are some foreign bases planned for closure.

Senator **Pell**. I realize we are getting a little far afield here. But this is very upsetting to those of us who see this happening, while the facilities that were once promised in our area leave the country, one of them is in Spain, and was moved there many years ago and not moved back.

This is off the subject.

We will now recess the committee, if you will excuse me, Senator Mondale went over earlier to vote. As soon as he comes back, I will ask him to carry on.

[Short recess.]

Senator **Mondale** [presiding pro tempore]. We are voting and the Chairman asked me to go ahead with my questions, if it is all right with you.

As I understand it, the theory of the main element in the so-called Better Schools Act, is based on this proposition: the best way to help educationally or economically disadvantaged children is to generate what is described as critical mass, which is carefully targeting into the reading, math, basic skills category.

What is your estimate of the number of children who need this kind of special help?

Mr. **Weinberger**. I think probably it is fair to say that more is needed than can be financed this particular year, but this bill makes a good start at it.

Senator **Mondale**. I want to know the number that you think should receive the help.

Mr. **Weinberger**. Dr. Marland says around 7.5 million.

Senator **Mondale**. What is a ball-park guess as to what constitutes critical mass, how much money?

Mr. **Weinberger**. I think again in this connection what we hope to get behind each pupil is something like $300 per pupil, and there is nothing, of course, which limits the amount that can be spent. That is the amount of Federal contribution. We would hope there might be areas, as there are at present, where more is made available through the utilization of other resources.

Mr. **Marland**. May I add to that, Senator Mondale, because it is a very fundamental question as part of the strategy that we are offering here. We all know that funds provided under title I of the Elementary and Secondary Education Act did become diffuse and thinly spread in many, many parts of the country, so that its outcomes were not very noticeable, as everyone tried to satisfy everyone else with a thin layering of added moneys.

This bill is significantly different in that it does call for the critical mass idea. The figure of $300 which the Secretary has referred to is perhaps an average across the country that would be the critical mass, and we base that on some reasonably persuasive evidence from States that have used the critical mass idea, not the least of which was

California where measurable results derive from title I where it was concentrated.

In some States, the critical mass may run as high as $400 to $450, depending upon the level of expenditure in that State.

Senator **Mondale**. Could you submit for the record the evidence that you referred to by way of general definition—what schools, what kind of achievement levels were accomplished, what techniques were used, what sort of learning level achievements might we anticipate, and what kind of funding is needed in order to do so?

Mr. **Marland**. Very good.

Senator **Mondale**. This is a very central issue, whether it can be done this way or not. Your whole assumption is it can be. We would appreciate receiving for the record the data that supports that assumption.

Mr. **Weinberger**. We have a study entitled "Effectiveness of Compensatory Education," a summary and review of the evidence.

I think, as I listen to your question, Senator, it covers most of that material.

[The information referred to follows:]

The Effectiveness of Compensatory Education

Summary and Review Of the Evidence

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
USA

FOREWORD

Within the Department of Health, Education and Welfare, my office has the responsibility for assessing the effectiveness of all major programs. The evidence on compensatory education has been a subject of paramount interest to this office for some years. We know that there are millions of children who need help --we have sought systematically to learn how to help them.

The debate concerning the effectiveness of compensatory education has been long and intense. The President's initiative of March 1972 has brought about renewed public debate on the subject. This analysis and review of the evidence concerning the effectiveness of compensatory education has been done in order to provide a basis for a more informed and complete discussion of a complex issue. This work has been done under severe time pressures, and is subject to those limitations.

The Project Monitor for this effort was Dr. Constantine Menges, Assistant Director (Planning) of the Office for Civil Rights. Colleagues with him in this effort have been Dr. Joan Bissell, Office of the Assistant Secretary for Planning and Evaluation; Dr. John Evans, Assistant Commissioner for Planning and Evaluation, Office of Education; Ms. Linda McCorkle, Office for Civil Rights; Ms. Ruth McVay, Office for Civil Rights; and Mr. P. Michael Timpane, Director of Education Planning, Office of the Assistant Secretary for Planning and Evaluation. This work could not have been completed in the short time available without the efficient and cheerful secretarial support of Ms. Penny Al-Rawi and Ms. Belinda Hood.

Laurence Lynn

Laurence E. Lynn, Jr.
Assistant Secretary for
Planning and Evaluation

20 APR 1972

CONTENTS AND SUMMARY OF EVIDENCE AVAILABLE

Appendix		Page
	Analysis of Compensatory Education	3
A	Introduction to the Evidence	16

State Reports: Indepth Analyses

B.	California	21
C.	Colorado	29
D.	Connecticut	37
E.	Rhode Island	41
F.	Texas	47
G.	Wisconsin	53

State Reports - Brief Analyses

H.	Arkansas Indiana Iowa Kansas Louisiana Michigan Minnesota Missouri New Jersey New Mexico North Dakota Ohio Oregon Wyoming	60

Large Scale Evaluations: Cities

I.	Los Angeles	68
J.	Sacramento	75
K.	Indianapolis	82
L.	Cleveland	84

Large Scale Evaluations: Other

M.	Federal Evaluations of ESEA: Title I	95
N.	Follow Through	100
O.	Head Start	106

Appendix Page

Situational Evidence

P. Summary of Successful Projects 118
Q. Four Successful Schools 163
R. PS 133, New York City 165
S. Summary: Input and Output in California Compensatory Education Projects 167

Relevant Commentary

T. Effect of Desegregation on Academic Achievement: A Research Review 170
U. "The Urgent Need for Experimentation" 181

V. List of Sources 195

ANALYSIS OF COMPENSATORY EDUCATION

THE EFFECTIVENESS OF COMPENSATORY EDUCATION SUMMARY AND REVIEW OF THE EVIDENCE

INTRODUCTION

In his message to Congress concerning the Equal Educational Opportunities Act of 1972 President Nixon proposed a new Federal emphasis on compensatory education to help disadvantaged children. The President proposed that this effort be focused on basic learning skills at relatively high dollar levels (about $300 per child), to result in improved academic achievement for students in schools with high concentrations of poor children.

In forwarding his program, the President acknowledged that the steps he proposed represented one judgment--carefully considered but a judgment nevertheless--in an area where empirical evidence concerning the probabilities and determinants of success or failure was imperfect. As his message stated:

> "For some years now, there has been a running debate about the effectiveness of added spending for programs of compensatory or remedial education. Some have maintained there is virtually no correlation between dollar input and learning output; others have maintained there is a direct correlation; experience has been mixed."

Based on careful assessment of available evidence, the President's judgment was also clearly stated:

> "While there is a great deal yet to be learned about the design of successful compensatory programs, the experience so far does point in one crucial direction: to the importance of providing sufficiently concentrated funding to establish the educational equivalent of a 'critical mass,' or threshold level. Where funds have been spread too thinly, they have been wasted or dissipated with little to show for their expenditure. Where they have been concentrated, the results have been frequently encouraging and sometimes dramatic."

The President's proposals involve, therefore, an affirmative answer to the following two questions:

- Can compensatory education be made to work?

- Does the application of concentrated compensatory resources (usually at higher dollar costs) in basic learning programs enhance the probability of success in compensatory education?

This analysis is intended to amplify in additional detail our affirmative replies to these questions and set forth some honest and prudent qualifications which should be attached to these "yes" answers. Secretary Richardson testified at length before the Congress on this subject on March 24 and 27. But we feel that an additional review of the evidence is needed at this time, because the debate on the President's proposals for a new compensatory education effort has been fragmentary and incomplete.

With respect to both questions, we have been speaking in terms of probabilities. We do not find in the evidence any sure-fire techniques whereby compensatory education will always work. Similarly, the relationship between the intensity of resources (i.e., costs) and achievement results means only that a "critical mass" may increase the probability of success. There is no guarantee of success if more funds are spent; and very expensive programs have, in fact, failed. More than resources are necessary for a good compensatory education program; careful innovative planning and effective management are also essential. At the same time, we know that unusual combinations of circumstance and imagination have and no doubt will produce successful compensatory education with relatively small per pupil costs.

All this we have said before. But it obviously merits repeating at each stage of the public discussion of these issues.

In reviewing the evidence that follows, it is also important to maintain a perspective concerning the maximum contribution which we expect schools to make in lifting the burden of children's economic and cultural deprivation. Differing perspectives on this point are among the most important factors contributing to the divergent conclusions which reasonable men have reached in reviewing the evidence. Some would hold that schools can do little or nothing to overcome a poor child's personal history and environment, while others would hold that schools can overcome almost all obstacles to learning for all children. Our assumption is that if schools can produce improvements in learning for disadvantaged children of even a relatively modest order, this both constitutes success when weighed against the formidable challenge to the schools which these other conditions present and warrants further support and exploration.

The difficult question for national policy, then, is whether the net weight of the evidence allows us to conclude that compensatory education programs can be made to help reasonable numbers of disadvantaged children to learn more effectively. The level of one's expectations for success are presently a part of any individual's answer to this question--as much as or more than the weight of the evidence summarized below.

PROFILE OF AVAILABLE EVIDENCE

We have tried to gather and analyze all the evaluations of compensatory education efforts in reading and mathematics which included pre-treatment and post-treatment standardized achievement test data. Our survey of the sources has been complete to the limits of our knowledge and time, and this report includes all the evidence, positive and negative, available to the Department. There are, no doubt, flaws in some degree or other in most of the pieces of evidence we have considered.

This evidence can be divided into two categories: large-scale evaluations which include considerable numbers of children from a wide variety of settings--notably, the national, State and city evaluations of programs under Title I of the Elementary and Secondary Education Act of 1965; and situational evidence which is limited to specific projects, schools or smaller research studies.

No one piece of evidence is either sufficiently representative of national compensatory education programs or sufficiently definitive in its findings for policymakers to make conclusions based upon it alone. Rather, arraying the evidence available is more like fitting together the pieces of a mosaic and considering the overall pattern that emerges. [1]

CAN COMPENSATORY EDUCATION BE MADE TO WORK?

The appendices of this analysis constitute our review of the best national, State and local evidence that we could find. As presented, these reviews set forth with appropriate qualifying commentary the evidence which has led us to conclude that the concentrated compensatory education program proposed by the President is a sound investment for the Nation at this time. It is in the nature of the evidence we review that unequivocal findings, negative and positive, are equally rare.

Evidence for the effectiveness of compensatory education

The evidence presented in the appendices covers more than 16 large-scale evaluations performed by Federal, State and local authorities concerning their compensatory education programs. It also reviews available evidence concerning specific projects where compensatory education succeeds, preliminary results from the evaluation of the national Follow Through Program and less comprehensive State evaluations.

The studies covered are not of equal importance in terms of their representativeness, thoroughness, comprehensiveness, or presumed validity. Nevertheless, the drift of the evidence seems to be unmistakable; that compensatory education often enhances the achievement of poor children.

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[1] A more extended discussion of the evidence will be found in the section on "Introduction to The Evidence."

Expert experience suggests that .7 grade equivalent per year is usually the most which disadvantaged children gain in one year of school. But in many of the compensatory education programs we discuss, sizable proportions (often a majority) of the poor children tested seem to be achieving at a greater rate than this; while a smaller but still significant percentage are achieving at or above the national norm (1.0 grade equivalent gain per year).

The most complete data are those available from the State of California.[1] California has collected pre-treatment and post-treatment standardized test achievement data on children receiving Title I services for the last four years. Achievement data was collected for about 80% of all participants in compensatory reading programs and analyses were conducted using data covering about 50% of the participating children. Only that achievement data which met specified quality control criteria was included. Over the four years covered by the data, 54% to 67% of children receiving compensatory services showed a rate of reading achievement gain larger than the usual maximum for disadvantaged children. Analysis and results for mathematics were similar and even slightly better. We judge this to be clear evidence of success.

The evidence from Colorado, Connecticut, Rhode Island, and Wisconsin is also indicative of success, but less comprehensive. Moreover, summary evidence from many of the remaining State reports, which are summarized in Appendix H, and which we have not had an opportunity to review, point in identical directions. In only a few States--notably Texas and Louisiana among those reviewed--does it appear that compensatory education had negligible or very minor effects.

The results of Title I in Los Angeles, California, pose a more difficult problem of judgment. There, only 17% to 32% of the children in the elementary grades receiving compensatory services improved their rate of achievement gain above that of the average disadvantaged child without assistance.[2] Yet, we are informed that those children in the Los Angeles schools represented the most severe form of multiple economic and social disadvantagement, and this leads us to judge these very modest results as indicating relative "success" under the circumstances.

The evidence available to us concerning specific Title I projects, taken together with the Los Angeles evidence, demonstrates that successful compensatory education in settings of urban poverty poses a more difficult but not an impossible challenge. For example, among the more than 20 successful compensatory education projects identified by a research effort which sought to discover exemplary programs, many were inner city efforts enrolling large proportions of disadvantaged and minority children.[3]

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[1] See Appendix B.

[2] See Appendix I.

[3] See Appendix P.

The largest of these, the More Effective Schools program in New York, typifies the limited success of compensatory education in such environments. In the More Effective Schools program, average per pupil achievement gains often exceeded the upper gain rates for disadvantaged children, but usually fell short of the rate expected of the average American child.

Preliminary evidence available in the evaluation of Follow Through shows much the same pattern. [1] The Follow Through evaluation is the most rigorous in design of all evaluations of compensatory education; but it has not been completed. The following are the preliminary conclusions which can be drawn from the data at this time: children receiving compensatory help show very small but consistent improvement in learning compared with matched children without compensatory help; and, the more disadvantaged the children are, the more effective this compensatory help has been in improving their academic performance compared with similar children not receiving any help.

Evidence against the effectiveness of compensatory education

The most pessimistic view of compensatory education is that it has not worked and probably cannot be successful with disadvantaged children. The evidence we have just discussed contradicts this totally negative conclusion. Yet there is considerable evidence indicating that many compensatory education programs can be assessed as unsuccessful either because too few children improved their academic performance or the rates of improvement did not exceed that typical for poor children. Both large scale and situational evaluations contain evidence of this kind.

There have been at least three large-scale evaluations which have concluded that Title I was not successful:

- An evaluation undertaken by G. E. Tempo analyzed compensatory programs conducted under Title I in 11 large cities during school years 1965-67. The study found only slight evidence that the program enhanced achievement on average, and some clear instances where the children receiving services had actually fallen farther behind. [2]

- Two national evaluations of Title I have been conducted under auspices of the U. S. Office of Education. [3] Both of these evaluations were undertaken, not by on-site investigators, but through a Federal-State-local information reporting system and concluded that Title I participants had showed no improvement in achievement gains compared with nonparticipants.

1/ See Appendix N

2/ See Appendix M

3/ See Appendix M

In a technical sense, we have no dispute with the findings of these studies. However, we would note that the first study reviewed a strikingly unrepresentative sample of projects in the initial stages of Title I's implementation, and that the two USOE evaluations were severely limited and have the same limits as the State reports since they are derived from an information system rather than an on-site review. Also, they are severely limited in representativeness on this issue because they were marked by very high (over 90%) non-response rates for usable achievement data. Furthermore, we know that the funds under this national Title I program were, on the average, spread very thinly among many students and that the average child received no more than one or two hours per month assistance in reading.

Yet another body of evidence against the effectiveness of compensatory education is the national evaluation of the Head Start program which concluded that full year Head Start programs produced cognitive gains for a small proportion of participants but not for most; and that the gains dissipated rapidly when the children entered normal school programs.1/ This study was a well designed and well implemented one, and its findings should be accepted. We would note, nevertheless, that Head Start is concerned with pre-school, rather than school programs and that little is known concerning the extent to which Head Start programs attempted to concentrate on cognitive improvements for the participating children. In addition, the children showing most gains were minority children in cities. The schools which the children entered after Head Start were not necessarily able to provide them with the enriched learning environment needed to preserve the achievement gains; we consider that effective compensatory education will require more than a single year's effort for most disadvantaged children.

The situational evidence against compensatory education is more impressionistic--there are relatively few validated failures of compensatory programs but there are many, many instances where close investigations of claimed success showed that the evidence was lacking or unreliable. Undoubtedly, many specific efforts labled as compensatory education at all levels of cost and intensity have failed.

The evidence indicating that compensatory education has not worked is, we judge, sobering but not overwhelming, a counsel of caution but not of despair.

THE COLEMAN REPORT: WHAT DOES IT SAY?

The findings of the Coleman report have been a keystone for many of the arguments that compensatory education cannot work. The Coleman report was a study of the relationship between achievement and a variety of social,

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1/ See Appendix 0

regional and educational resource factors. The data from this analysis have been reanalyzed by a number of scholars in the years since 1966. One clear finding of the Coleman report is that variation in school spending within the range of existing educational practice *was not* a significant factor in explaining differences in the achievement of children.

The Coleman report also suggests that there are modest educational gains associated with the attendance of minority group children in classes and schools which are racially and socio-economically integrated.1/ This conclusion is accepted and is not at issue here. We have not presented compensatory education as an alternative to desegregation, but rather as a complementary policy.2/ It is our view that both before, during and after transfer from racially and/or economically isolated environments to more favorable learning centers, educationally disadvantaged children can benefit from compensatory education services.

In this connection, it is worth noting two additional features of the Coleman report:

- As the author has recently pointed out, the Coleman report should not be used to claim that physical desegregation is the only educational treatment that can have any positive achievement effects.[3]
- There is no direct evidence in the Coleman report for the conclusion, sometimes drawn from it, that compensatory education does not work. The Coleman report analyzed the existing range of school conditions in 1965-66 and had nothing to say about situations in which very substantial additional resources above normal school expenditures were provided for basic learning programs. The Coleman report did not analyze any such intensive programs.

1/ See Source 79.

2/ See Appendix T.

3/ New York *Times*, April 9, 1972.

EVIDENCE CONCERNING THE RELATIONSHIP BETWEEN LEVEL OF EDUCATIONAL RESOURCES AND ACHIEVEMENT GAINS

With respect to the first question on whether or not compensatory education can work, the evidence, as we have noted, is definitely encouraging. The important difference between success and non-success appears to depend on whether compensatory education funds have been channeled into traditional patterns of expenditure--salary increases, routine techniques, etc. -- or whether they have been used to develop supplementary, focused, compensatory education programs. The reason there is so much evidence of failure is that resources have more often been used in the former rather than the latter manner.

On the second question of how closely effective compensatory education is related to increased expenditures, the evidence, and therefore our conclusion, is much less clear. However, on the basis of the common sense observation that a supplementary compensatory education program will require additional resources, on the evidence that the elements of programs found to be successful require significant additional resources (e.g., individualized instruction), and on the basis of some fragmentary evidence from several studies which have attempted to relate achievement gains to additional expenditures, we conclude that an effective compensatory education program will indeed require significant additional resources and we have recommended as an approximation of the needed addition the figure of $300.00.

To this conclusion, though, we would tenatively add another: there is also an upper boundary of marginal costs, beyond which one would probably be wasting money in the application of compensatory resources. These conclusions are based on several of the studies we have reviewed.

> The State evaluations for California, Colorado, Connecticut, and less directly, Wisconsin all indicate a relationship between costs and effectiveness as costs move up the range from $150 to approximately $300[1]
>
> Dr. Herbert Kiesling's analysis of successful compensatory education programs in California concludes that there is a consistent and strong relationship between educational resources in the range of $200-$300 and achievement gains for disadvantaged children. This report does not include, however, large city observations.[2]
>
> A recent examination of some state Title I reports, as part of a larger reanalysis of Title I data, concluded that there was no compelling evidence for a positive relationship between supplementary compensatory education expenditures and achievement gains. However, the same organization and authors had identified a number of successful compensatory programs.[3] Most of these were

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1/ See Appendices B, C, D, G,
2/ See Appendix S.
3/ See Source # 77 and Source # 75 .

> characterized by application of educational resources on a concentrated basis.
>
> At the other end of the scale, Follow Through (at $800 - $1,100 additional per pupil)and the More Effective Schools program (at over $1,000 additional per pupil) show no evidence that enormously high resources produce greater increments of achievement than programs in the $300 per pupil range.

It must be emphasized that we use the $300 figure as an approximation for the intensive approach--we expect variation in the actual amount depending on program characteristics. The notion of cost or a dollar amount is merely a short expression for the creative use of educational resources--teachers, paraprofessionals, diagnostic reading instruction specialists, individualized curricula, and the like.

PROGRAM STRATEGY IMPLICATIONS

Our assessment of the evidence is that compensatory education can help disadvantaged children learn and that the chances of success are usually greater beyond the standard effort devoted to basic learning programs. Yet we know that money alone provides no guarantee of effectiveness--there is a continuing intellectual challenge to discover the kinds of learning enrichment that can work with different kinds of disadvantaged children and there is a need for coherent management, innovative planning and vigorous evaluation.

The state of the evidence which we have reviewed demonstrates a great lack of fully reliable, definitive findings, with respect to either national, state or local compensatory education efforts. We must:

(a) Sponsor longitudinal studies of the effects of compensatory programs over longer periods of time upon individual students;

(b) Establish controlled experiments which can determine more carefully than is now the case the relationships between program design, program costs, program management, the students served and achievement gains.

Having said we need to know more, much more in the near future we still conclude that we know enough now to formulate a program which will try to meet the educational needs of millions of disadvantaged children. This program has been shaped by our best judgement of evidence:

we know that compensatory education can be made to work for poor children therefore we will use this approach;

we know that poor children are most in need of educational help-therefore we seek to focus on the schools which contain substantial proportions of poor children;

we know that children need most help with the basic skills, reading and aritmethic-therefore we have stipulated that the funds be used for this purpose;

we know that successful programs often require substantial departures from typical educational practice and usually cost more therefore our provision for about $300 per child in compensatory services;

we know that children learn less effectively when there is a great degree of economic or racial isolation-therefore our provision for a "transfer bonus" which will encourage districts to reduce economic and racial concentrations within schools and our desire to provide priority in funding for districts which are making efforts to desegregation and reduce economic isolation;

we know that the Federal compensatory education program has not been successful as whole - that funds have not reached poor children in the correct proportion and that the formula grant aspects of the program have permitted significant amounts of funds to be spent in ways which have had only minor educational consequences for disadvantaged children-therefore we seek a project grant program which will permit us to attempt a coherent, focused and concentrated compensatory education effort.

A well planned and managed project grant program along these lines which combines the resources of the Federal Government with the creative enthusiasm and sensitivity of local school authorities offers the needed assurance that we can hope for some success.

In conclusion: a perspective

The educational aspects of the Equal Educational Opportunities Act are an integral part of this Administration's perspective on social policy. In his first message on Poverty in 1969, the President told the Nation about the negative preliminary results of the Head Start program and he added:

> "This must not discourage us. To the contrary it only demonstrates the immense contribution the Head Start program has made simply by having raised to prominence on the national agenda the fact--known for some time, but never widely recognized--that the children of the poor mostly arrive at school age seriously deficient in the ability to profit from formal education, and already significantly behind their contemporaries. It also has been made abundantly clear that our schools as they now exist are unable to overcome this deficiency." [1]

In August 1969 the President submitted the Family Assistance Program to the Congress. A major underlying assumption of the President's welfare reform initiative was that schools could only contribute a part of the resources needed to help poor children and that improved achievement for these children was more related to family income. This perspective was very much shaped by the findings of the Coleman Report.

A consistent theme of educational policy has been the search for reforms which would help poor children. In 1970, the President stated that:

> "The most glaring shortcoming in American education today continues to be the lag in essential learning skills in large numbers of children of poor families.
>
> "In the last decade, the Government launched a series of ambitious, idealistic, and costly programs for the disadvantaged, based on the assumption that extra resources would equalize learning opportunity and eventually help eliminate poverty.
>
> "In some instances, such programs have dramatically improved children's educational achievement. In many cases, the programs have provided important auxiliary services such as medical care and improved nutrition. They may also have helped prevent some children from falling even further behind.
>
> "*However, the best available evidence indicates that most of the compensatory education programs have not measurably helped poor children catch up.*" (Emphasis in the original)[2]

1/ Source: 98.

2/ Source: 97.

At that time the President concluded that "more of the same," whether in programs called compensatory education or in regular school practices simply would not provide the effective help needed by poor children. A major part of the reform which the President proposed was establishment of a National Institute of Education, which is to provide a Federal basis for stimulation of educational innovation and the discovery of programs and practices that can be effective.

Similar themes were repeated in the President's recent message on the Equal Educational Opportunities Act--routine compensatory and school programs are not enough; there is a need for innovative concentrated compensatory efforts focused on basic learning skills in order to help poor children.

Once again the Congress has before it a proposal intended to help millions of poor children--we know that the problems are too great to wait for our completely certain knowledge. Responsibility requires that we make our best efforts on the basis of the knowledge before us.

APPENDIX A

INTRODUCTION TO THE EVIDENCE

As in most areas of social policy analysis and research, there are profound epistemological problems in the literature dealing with the evidence on compensatory education whatever the techniques of analysis. However careful the design of a study, there are likely to be different opinions concerning its validity, its intrinsic meaning and its relation to governmental policy alternatives.

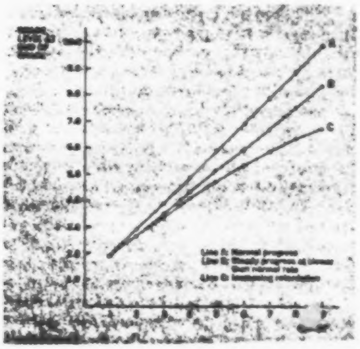
There is a paradox of first magnitude inherent in most social and educational research: if a study is as completely rigorous as might be required to provide clear and unmistakable conclusions, its findings will be difficult to project into the real world; and, conversely, those analyses which are done in the midst of real school practices are more relevant to policy but more likely to be flawed in method and precision of conclusion. But, we add that it is possible to undertake policy relevant studies that are carefully designed and conclusive.

How to Assess Progress in Learning

The evidence we have summarized is on the whole limited to studies which contain pre- and post-test standardized achievement data. This implies a significant decision on our part to consider as evidence, positive and negative, a set of measures which it has been argued tend to understate the capabilities and achievement gains of poor children because of various content and measurement biases. We do not feel that standardized tests are the only way to measure the achievement of children and we do agree that progress in educational measurement is vitally needed so that all economic and cultural groups will be fairly assessed. Nevertheless, for the purpose of this analysis we felt it essential to limit our consideration to achievement data because it provides the only basis for an accumulation of evidence across such a wide diversity of studies and is the only commonly accepted set of measures now available.

Among those who agree on the use of achievement test data there is a basic question concerning the use of "achievement gain" scores as measures for improvement. One point of view is that even if a child gains at the rate of one year per year of instruction but still ends the sixth grade at a reading level of 4.5 (instead of 6) he has not really made much progress. This is a matter of judgment. The illustration below contrasts the grade level attained by children who progress normally and the usual pattern for disadvantaged children which results from the typical pattern of cumulative lag in reading attainment.

FIGURE 1: Progress of three children at different rates from the same starting point



This illustration makes clear that the first step in helping disadvantaged children is to improve the rate at which they learn--as long as that remains at the maximum rate of .7/year for each year of instruction, these children fall farther behind each year (examples B and C). For that reason we judge improvements above that typical for disadvantaged children in the achievement rate to constitute successful compensatory education.

Clearly, we consider compensatory education to be much more successful and effective when the absolute achievement level of the disadvantaged children is at or above that typical for their grade. And without question the ultimate objective of compensatory efforts should be to help disadvantaged children achieve the same reading levels as their classmates.

Broad Issues of Data Validity

Except for the very carefully controlled, small scale research studies, in all the evaluations of compensatory education, we are faced with one or another set of data problems which create uncertainty. Let it be noted that these uncertainties apply as much to the negative as to the positive evaluations of compensatory education. There are two major kinds of uncertainties: those pertaining directly to the validity of the achievement results; and, those relevant to the nature of the sample from which the results are drawn and hence to the generalizations possible as a result of any particular study. These are separable issues: a study may be valid for the group of children it has included whether or not that group of children is representative of all the children in a given community, state or nation, or any category of children such as "disadvantaged children."

Of particular concern in this discussion is the intrinsic validity of the studies because we know that there is no evidence available on compensatory education which is or could be truly reflective of the United States as a whole--and this applies to the national evaluations of Title I which were based upon achievement data derived from an unrepresentative subgroup of children in a sample that was intended to be representative.

The following is a brief discussion of the effects of the major problems associated with large-scale evaluations which use reported data. This applies to the two national evaluations of Title I, the state evaluations of Title I and all the city evaluations except for the specific sub-studies which used control or matched comparison group designs and the same achievement tests.

A. Pre- and Post-test results reported for different children

Effect: If this happens because of the movement of children, especially disadvantaged children in and out of schools during the year, then the effect is to understate the real achievement gains of children.

If this is due to conscious substitution of better performing children, then of course the effect is to overstate achievement gain.

B. Mixing of different tests as a basis for obtaining overall average gains

Effect: There are statistical procedures for substantially neutralizing the distorting effects of the large variations in the results obtained with the same children on different tests. If these techniques are not used the effect can be to understate or exaggerate the achievement results depending on how the scores are derived and overall averages computed.

C. Use of out of phase tests

Effect: May understate or overstate achievement gains depending on whether a "floor" or "ceiling" test has been used.

D. Poor test administration and normal clerical errors

Effect: May either understate or overstate gain.

E. Regression toward the mean

Effect: Due to intrinsic aspects of certain analytical procedures and measurement errors (test unreliability) low scoring students may score higher on a post-treatment test in the absence of any special treatment effect. The extent of this effect varies with a number of factors.

The cumulative weight of such errors can of course be very large. One assumes that the states and cities which regularly and systematically conduct large scale evaluations of compensatory education take means to reduce the errors due to these and other factors. The State of California for example used pre-treatment and post-treatment test data in its 1970-71 analysis only when assured that it was for the same children; and it has devised procedures to eliminate error due to mixing of scores from different standardized tests and out of phase testing.

Basis for selection of evidence

This review is based on all the evidence known to the Department at this time. All federally funded evaluations of ESEA Title I and all major analyses of other compensatory programs have been included. Most state evaluation reports containing achievement test data have been included. The state reports which had the most achievement data were analyzed in greater depth. The first HEW analysis of state evaluation report achievement data was done in 1970 and identified the comparatively few reports with substantial amounts of data.

There are undoubtedly other city or county evaluations of compensatory education in addition to those we have included. But those we have summarized are the only ones known or available to HEW. The "situational evidence" has been selected to provide examples of fairly rigorous evaluations of successful compensatory programs.

Our intention has been to present the major work relevant to the policy issues under consideration--it has not been our intention to undertake a comprehensive academic survey of everything written about every compensatory education project.

APPENDIX B

CALIFORNIA

Issue: Does Compensatory Education Work?

In California students are usually selected for participation in Title I programs only if their achievement rate has been less than .7 year's growth for each year in school.[1] This means that we can assume a maximum of .7 month gain per month of school to be the baseline of comparative performance for children receiving compensatory services in that state.

Using a state-wide testing program with pre-treatment and post-treatment comparisons using standardized achievement tests, the state conducts a large scale annual evaluation of the effectiveness of Title I compensatory services. In the 1970-71 school there were additional efforts to ensure the validity of the results and achievement test data for 113,408 children of the 248,289 children participating in the reading program met the rigorous criteria.[2] The analysis indicates that 61% of the participating children made achievement gains in reading greater than would have been expected without compensatory services (see California Table I below).

CALIFORNIA - TABLE I

Reading Achievement Gains of ESEA, Title I, Public School Students by Grade Level, 1970-71 /2

Grade level	Number of students	Percent of students, by month's growth			
		Substantial 1.5+	Moderate		Little or none 0.6 or less
			1.0 to 1.4	0.7 to 0.9	
One	10,780	5.2	19.4	22.9	52.5
Two	14,391	4.4	29.7	32.6	33.3
Three	23,438	2.5	14.1	43.3	40.1
Four	20,236	10.4	20.0	29.7	39.9
Five	18,444	7.3	13.7	35.6	43.4
Six	17,525	6.7	13.4	43.1	36.8
Seven	2,185	13.8	34.9	32.5	18.8
Eight	1,838	13.4	19.8	35.0	31.8
Nine	2,725	21.4	28.5	33.6	16.1
Ten	1,267	17.7	33.5	31.0	17.8
Eleven	405	12.6	35.1	38.0	14.3
Twelve	174	39.1	33.3	16.1	11.5
Total or average	113,408	7.0	18.6	35.5	38.9
		7.0	54.1		38.9

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[1] Source: 10

[2] Achievement test data was included only when pre and post standardized test data on the same children were available. Also, results were only

Of particular note is the fact that 26% of all these children showed rates of gain above that typical for children who are not disadvantaged.[1]

In mathematics performance the results are similar. Achievement test data for 103,339 students was analyzed and showed that 69% gained at a rate greater than customary for disadvantaged pupils. Of these, 32% showed ac-achievement gains greater than expected for the average pupil (see California Table II).

CALIFORNIA TABLE II

Mathematics Achievement Gains of ESEA, Title I, Public School Students by Grade Level, 1970-71 /2

Grade level	Number of students	Percent of students, by month's growth			
		Substantial	Moderate		Little or none
		1.5+	1.0 to 1.4	0.7 to 0.9	0.6 or less
One	9,223	3.2	16.3	17.1	63.4
Two	11,836	7.3	22.7	38.2	31.8
Three	20,982	7.8	36.2	33.7	22.3
Four	19,773	10.1	35.3	35.3	19.3
Five	17,559	7.8	16.1	50.7	25.4
Six	16,517	5.3	13.8	40.6	40.3
Seven	2,200	3.6	15.3	32.8	48.3
Eight	1,810	11.4	2.6	41.1	44.9
Nine	2,129	13.2	22.3	25.8	38.7
Ten	859	19.4	15.1	22.0	43.5
Eleven	281	5.7	62.6	7.5	24.2
Twelve	170	64.1	9.4	1.2	25.3
Total or average	103,339	7.6	24.3	36.8	31.3
		7.6	61.1		31.3

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included if more than 25 children in a school had taken the tests for a specific grade level.

[1] Source: 10 p. 12.

[2] Source: 10 p. 19.

Trend over time

A comparison of reading achievement results over the last four school years shows that the proportion of disadvantaged pupils showing improvement above the baseline ranged from 52% in 1967-68 to 67% in 1969-70. (See California Table III).

CALIFORNIA: TABLE III

Reading Achievement Gains of ESEA, Title I, Public School Students 1967-68 Through 1970-71[1]

Year	Achievement Results (% of pupils)		
	Substantial gain (1.5+) %	Moderate gain (.7-1.4) %	Little or No gain (.6 and less) %
1970-71	7	54.	39.
1969-70	9.4	57.5	33.
1968-69	15.5	55.2	29.2
1967-68	10.9	40.6	48.6

1/ Source: p. 13 (Percentages prorated to 100% for those children included in the analysis)

Non-public schools

These positive results also hold for children receiving compensatory services in the non-public schools. Reading achievement data was analyzed for 4,394 children in the 1970-71 school year and indicated that 68% showed gains larger than expected of disavantaged children. More than 32% of these children gained at a rate greater than the expected national norm. In mathematics achievement 69% of the 3,548 children whose scores were analyzed showed gains greater than might have been expected for disadvantaged children.[1] (See California Table IV below)

CALIFORNIA - TABLE IV

Achievement gains for non-public school pupils: Reading and Mathematics, 1970-71

		Percent of students, by month's growth			
		Substantial	Moderate		Little or none
Subject	Number of students	1.5+	1.0 to 1.4	0.7 to 0.9	0.6 or less
Reading	4,394	10.4	26.9	30.5	32.2
Mathematics	3,548	11.5	60.0		29.0

1/ Source:10p. 20 (Percentages reflect the proportion of students in different gain dategories among those with analyzed achievement data).

Another type of evidence concerning effectiveness

Using 1970-71 data the California Department of Education selected a sample of schools with "saturated" Title I services - more than 75% of the enrolled children were Title I participants. Then a random selection was made of a set of schools matching the saturated schools in ethnicity but without any children receiving Title I services. The result of a comparison of the achievement test results for the two groups of children was that they were nearly identical.[1] This finding is very important because it is a fact that the children in schools where 75% or more of the children receive Title I services are the most disadvantaged in the state and the comparison group is likely to have contained only a small proportion of disadvantaged children. The results suggest that even in this "worst case" comparison the saturated compensatory program was able to bring the absolute achievement level of the most disadvantaged children up to equality with their better-off peers.

A second difficult case analysis was conducted with the 1970-71 data. Picking two grades arbitrarily, results were examined for the children who performed least well in the pre-treatment tests (those in the lowest quartile ± .2GE). The expectation would be that these children constitute a severe test of the efficacy of compensatory education. The results indicate that significant proportions of these children have made gains above .7--note, however, that none in the third grade made substantial gains (see table California 5).

CALIFORNIA TABLE V

Achievement Gain Rates for Children in the Lower Quartile of Initial Performance--Reading, 1970-71

Grade	Test	Number Analyzed	Proportions in achievement gain groups		
			Substantial (1.5+)	Moderate	Little or none (.6-)
3	CTBS	1,000	--	50-65%	30-40%
3	Stanford	3,500	--	65%	35%
6	CTBS	3,000	8%	67%	25%

Source: Analysis provided the Department of Health, Education and Welfare by the California State Department of Education, working papers.

1/ Specifically a mean raw score of 45 for the third grade in the saturated schools and 46 for the children in the matched schools. Sources: print-out from SEA.

Is there a relationship between cost and probability of success?

Since the 1969-70 school year California has modified its Title I regulations to emphasize that services should be concentrated at the level of at least $300 per child.[1] This formalized a preference that has been evident in the state department of education at least since the 1967-68 school year.[2] Dr. Alexander Law, Chief of Program Evaluation for the State, reports that for the 1970-71 school year he has audit and other evidence suggesting that local districts have in fact allocated their funds in accordance with be $300 per child guideline and that there is little likelihood of a large variation in supplementary per pupil expenditures above that level because most districts prefer to reach as many children as possible.

This strongly suggests that the California Title I program for 1970-71 can be considered a fairly good test of the intensity hypothesis. Under these assumptions, our judgment is that the high proportions of children making improved gains in reading and mathematics strongly suggests that the strategy of concentrating resources at some "critical mass" level is a sensible one. This does not mean that this is sufficient condition for success as is indicated by the 40% of the children who made no improved gains in reading and the 31% showing no improvement in mathematics in 1970-71.

The average $300 per child in Title I funds was not all used for basic learning programs in reading and mathematics. It is in fact not possible to separate this aggregate figure into its components on a school by school basis and thereby derive a direct correlation with mean achievement test scores by school. However, an average of supplementary funds for reading and mathematics for the Title I participants has been calculated which includes Title I and other compensatory aid sources: in 1970-71 the average child received $242 in compensatory reading services and $140 in mathematics compensatory services. This average amount for reading reinforces the notion of a "critical mass" while the lesser amount for mathematics in combination with the positive performance results shows that the intensity needed may vary from subject to subject.

Questions about the cost data

The FY 1969 California state report concluded that there seemed to be a strong and clear relationship between cost and achievement gains in compensatory programs. As a result the U. S. Office of Education sent two individuals to consult with state officials: they collaboratively prepared a quickly done analysis of 709 Title I projects where cost and achievement data were both available.[3] A brief summary of that joint analysis follows:

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[1] Source: p. 3.

[2] See, passim Sources:

[3] This is the California study cited by the President in his message on EEOA, March 17, 1972.

CALIFORNIA TABLE VI
Relationship Between Cost and Achievement[1]

	Total	Very Substantial Achievement Gain (2.0+) (2.0+)	Substantial Achievement Gain (1.4 (1.4 - 1.9)	Moderate Achievement Gain (1.0 - 1.4)	Least Achievement Gain (less than 1.0)
# pupils	10,522	2,434	2,664	N/A	5,419
% of sample	100%	23.1%	25.2%	N/A	51.5%
Average per pupil expenditure	N/A	$298	$271	N/A	$160

The liminations of that cost data have been well noted in the original USOE document and the subsequent HEW summary. This 1968-69 analysis was seen as a preliminary one at best.

Because of strong interest on the part of the Los Angeles County Board of Education in the findings of that state evaluation, the County undertook its study of the relationship between cost and reading achievement for the group of districts within its jurisdiction.[2] That study concluded that "there was little evidence of relationship between cost and reading achievement . . . in the programs analyzed".[3]

This analysis was carefully done and one must accept that conslusion for the 30 districts analyzed and for the 1968-69 school year. Two important points are worth noting: the authors themselves state that there is a good chance that the absence of a relationship is due to the inaccuracy and adequacy of the cost data available to them rather than to a demonstrated non-relationship; secondly, the Los Angeles County analysis has been used by some to refute the 1968-69 California state report - but these two reports considered different sets of districts.

Concerning the general validity of the cost data used for the joint USOE/SEA analysis in 1968-69 the officials in California admit that the cost data is far from perfectly accurate and reliable yet they contend that those were the "reasonable estimates of those most able to make reliable statements about costs" the local school authorities.[4]

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[1] Source for this table is data used to prepare the FY 1969 California State Report. A sample of 10,522 students in Title I projects with reading as primary emphasis. The 10 largest were not included because of late submission of data. Expenditures were derived from LEA evaluation reports, LEA application forms and LEA financial reports.

[2] Source #49 p. 15

[3] *Ibid.*, p. iv

[4] Dr. Vincent Madden, Chief, Bureau of Compensatory Education, Evaluation and Research, Sacramento, Claifornia

APPENDIX C

COLORADO

29-30

Issue: Does compensatory education work?

In Fiscal Year 1971 the Colorado State Department of Education collected reading achievement data for a sample of participating Title I public pupils. A random sample survey stratified according to size of grant was sent to 50% of the reading projects; reading achievement data for various pre and post tests were received and analyzed for 1,777 pupils in grades 2-8. These scores accounted for approximately 12% of all pupils receiving Title I remedial funds in reading in Colorado, however, the scores probably are not representative of the entire state progress. Noteworthy gains in reading were demonstrated by this set of pupils. Table I presents the average gain in grade equivalents per month for these pupils; it should be kept in mind that the disadvantaged child is characterized as achieving at approximately .07 GE/month.[1] Out of these 1,777 pupils, 1,430 of 80% achieved at .08 GE/month or greater, 25% of those gaining or 351 pupils showed substantial gain by achieving at .15 GE/month or greater.

In Colorado a substantial number of remedial reading programs are financed through a three year program ending this year entitled the "Educational Achievement Act of Colorado." The purpose of the funds is to concentrate efforts on pupils significantly below grade level in reading achievement; for example, pupils considered for the project were normally two or more years below grade level in reading ability. During 1970-71, 6,521 public pupils received compensatory reading instruction from funds provided by this act; an evaluation in October, 1971, conducted by the University of Denver [2] represented 5,667 pupils or 87% of the compensatory reading instruction population. The evaluation organized the data according to six types of programs. (See Table II). The mean gain in reading achievement test scores was moderate to substantial and varied from a low of .65 grade equivalents to 1.19 GE (normally the disadvantaged pupil achieves at a level of .7 GE). The project objective of producing a one-year gain in reading achievement test scores was met in one-half of the programs.

It is of interest to note that the senior high pupils in program 1 which received the lowest change in achievement (their scores fell below their pre-test scores by .73 years) were also the pupils found to be absent from school the greatest amount of time (approximately 6 days a month).

Selected Site

A Title I evaluation for FY 71 was done in Poudre School District RI, Colorado, between a treatment and control group showing a significant impact on reading achievement for 44, fourth grade Title I students compared to 502 similar fourth grade non-Title I students. (See Table III [3])

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[1] In this entire review we use .7 GE per year gain as the maximum performance for most disadvantaged children and this is what we mean by "typical" - we do not use this as the mean of the gains shown by disadvantaged children.

[2] An Evaluation of the Compensatory Reading Programs Resulting from SB 174 for the 1970-71 School Year, prepared by the Bureau of Educational Research, University of Denver, October, 1971. Source: 12

[3] Colorado Annual Evaluation Report Title I ESEA, FY 1971, pp. 55-57
Source: 14

A greater percentage of students were found to be reading above the expected reading grade in Title I schools than in non-Title I schools.

Issue: Is there a Relationship Between Cost/Intensity and Probability of Success?

The Title I Colorado evaluation for Fiscal Year 1969 concluded that the evidence presented by ranking projects according to academic achievements in reading, language arts, and mathematics indicates that a per pupil expenditure of more than $200 correlates with successful achievement. Table IV presents this evidence - the most successful reading projects were found to have an average per pupil expenditure of $295, the most successful language arts projects $225 and the most successful mathematics projects $169. This compares to the middle project averages for those subjects of $178, $207 and $175. The reading data presented in the state report is based upon the selective ranking of 15 projects out of a total of 42 reading projects, while the scores for language arts are presented more completely by showing 9 of 11 language art projects with achievement data.

The 1971 evaluation of the Educational Achievement Act of Colorado has given some analysis of per pupil expenditures related to achievement gains in reading scores. (See Table V). The per pupil expenditures varied considerably; and interestingly, the least expensive program (Program 2 at $66/pupil) experienced one of the higher averages of gain in reading achievement (1.08 GE). However, it is worth noting that projects were grouped under this program because they employed teacher aides utilizing commercially prepared reading programs, and by looking at the last column on Table V it is realized that for all other programs the average per pupil expenditure involved in producing a one-year gain in reading achievement test scores was always above $250.

Limitations of the Data

Although the reading achievement data from FY 1971 was taken from a stratified random selection of projects, some of the surveyed projects did not report achievement data and the 1,777 student sample is probably limited in its representativeness of the entire state. Colorado does not administer a state-wide testing program; it is assumed the test scores reported from each project are comparable. The analysis of the data was done quickly and little is known about the characteristics of the children in the sample (i.e. minority or most economically deprived).

The cost data presented in the FY 1969 report does not show information for the total sample. Reanalysis of the data given, however, does indicate there is a relationship between cost and success. The method of estimating costs is not stated nor are the primary objectives of the projects.

TABLE I

Average Gain In Grade Equivalents/Month

Grade	Substantial Gain .15+		Moderate Gain .11-.14		Low Gain .08-.10		No Gain ≤ .07	
	# Pupils	# Samples	# Pupils	# Samples	# Pupils	# Samples	# Pupils	# Samples
2	35	2	75	3	104	5	10	1
3	60	2	59	4	100	4	62	4
4	54	3	80	5	135	4	75	6
5	64	4	137	6	39	2	52	4
6	29	3	80	5	134	6	37	3
7	86	5	3	1	95	3	44	3
8	23	2	33	2	5	1	67	3
Total	351	21	467	26	612	25	347	24

Totals: 96 Samples
1,777 Pupils

Source: Reanalysis of Colorado Annual
Evaluation Report Title I FY 71
and unpublished data from Colorado
printout 11/10/71

Colorado FY 71 - Reading Achievement, Title I

TABLE II

Summary of Reading Test Data
Evaluation of Educational Achievement Act of Colorado

Grade Level	Program Number 1	2	3	4	5	6	Average for Grade Level
Elementary (K-6)							
Mean Pre-test	2.22	2.26	2.36	No	2.24	N/A	2.25
Mean Post-test	2.99	3.20	3.15	Data	2.89	N/A	3.06
Difference	.77	.94	.79		.65	N/A	.81
N	1990	1053	972	33	81	N/A	
Junior High (7-9)							
Mean Pre-test	4.57	4.51	4.63	N/A	N/A	2.53	4.59
Mean Post-test	5.62	6.42	5.77	N/A	N/A	3.56	5.73
Difference	1.05	1.91	1.14	N/A	N/A	1.03	1.14
N	324	46	801	N/A	N/A	11	
Senior High (10-12)							
Mean Pre-test	7.41	7.51	6.53	N/A	N/A	N/A	6.98
Mean Post-test	6.68	9.29	7.56	N/A	N/A	N/A	8.25
Difference	-.73	1.78	1.03	N/A	N/A	N/A	1.27
N	15	150	191	N/A	N/A	N/A	
Average for Program							
Mean Pre-test	2.58	2.97	3.69	No *	2.24	2.53	
Mean Post-test	3.38	4.05	4.65	Data	2.89	3.56	
Difference	.80	1.08	.96		.65	1.03	
N							

N/A indicated that program was not implemented at that grade level.

*The reading achievement test data for the Program 4 districts were received after the evaluation was completed. A mean gain in reading achievement test scores of 1.19 years was observed for this district.

Source: An Evaluation of the Compensatory Reading Programs Resulting from SB 174 for the 1970-71 School Year, October, 1971, p. 10.

TABLE III

POUDRE, COLORADO - TITLE I COMPARISON

The current standing in reading of all fourth grade Poudre RI students has been carefully tabulated by the Reading Services Center Using scores from the California Mental Maturity and California and Reading Tests given in September. In order to make an impartial comparison between Title and Non-Title Schools the Expected Reading Grade for each was calculated using the Gates-McKillop formula with the following results:

Title Schools		Non-Title Schools
447	4th Grade Students tested twice	502
79 - 136	I.Q. Range	79 - 140
65% - 35%	Ratio between high I.Q. and low I.Q. students	84% - 16%
2.0 - 7.8	Grade Placement Range	2.0 - 8.5
3.0%	Reading 1 or more years above ERG	6%
60.0%	Reading at or near ERG	51.0%
37.0%	Reading 1 or more years below ERG	48.4%

What has been accomplished since 1966 when reading specialists began working in Title Schools? One Title and one Non Title School were carefully surveyed. Those two schools were chosen because their boundaries have remained relatively stable.

Title Schools			Non Title Schools	
1966	1969		1966	1969
48%-52%	32%-68%	High-low I.Q. ratio	89%-11%	88%-12%
4%	16%	Reading 1 or more years above ERG	5%	0%
67%	66%	Reading at or near ERG	74%	44%
25%	10%	Reading 1 or more years below ERG	21%	56%

Source: Colorado Annual Evaluation Report, Title I ESEA, FY 1971, p. 57.

TABLE IV

Colorado Achievement Related to Cost

		RANKING *	
	Top Projects	Middle Projects	Bottom Projects
Reading			
# Pupils	2202	4151	1432
# Projects	5	5	5
Mean Change in T-score	3.4	2.5	-1.4
Aver. per pupil Expend.	$285	$178	$112
Language Arts			
# Pupils	403	604	13,730
# Projects	3	3	3
Mean Change in T-score	2.3	1.9	-2.4
Aver. per pupil Expend.	$225	$207	$167
Mathematics			
# Pupils	5,036	15,232	1,207
# Projects	5	5	5
Mean Change in T-score	5.4	1.2	-.3
Aver. per pupil Expend,	$169	$175	$146

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*Projects were ranked on the basis of two factors: the mean change in T scores (a score conversion for Colorado which includes the standard deviation) and the percentage change in the proportion of students who scored below the lowest quartile, the greater the reduction of pupils in that quartile, the higher the project was ranked.

Source: Colorado Annual Evaluation Report Title I, FY 1969, pp. 9-13, reanalysis of the data presented. The averages for the projects were recalculated by multiplying the number of students by the P.P.E., adding the results and dividing by the number of students - and similarly multiplying the changes in T-scores for each project by the number of students in that shift and dividing by the total number of students for each category.

TABLE V

Comparative Costs of Reading Programs
Evaluation of Educational Achievement Act of Colorado

Program	Total SB 174 Expenditures	Number of Students	Per Student Cost	Years Gain Reading Scores	Per Student Cost for 1 Year's Gain
1	$ 599,071	2,768	$ 216	.80	$ 270
2	85,050	1,289	66	1.08	61
3	705,202	2,321	304	.96	317
4	9,500	33	288	1.19*	242*
5	28,381	88	323	.65	496
6	7,581	22	345	1.03	335
Total all Programs	$1,434,785	6,521			

*The reading achievement test data for the Program 4 district were received after the evaluation was completed. A mean gain in reading achievement test scores of 1.19 years was observed for this district.

Source: An Evaluation of the Compensatory Reading Programs Resulting from SB 174 for the 1970-71 School Year, October 1971, p. 37.

APPENDIX D

Connecticut

A. Does Compensatory Education Work?

The number of pupils served in Connecticut compensatory programs has decreased each year since 1968. Prior to that date, school districts attempted to reach an increasing number of children each year. This approach of spreading out limited funds did not greatly change measured achievement of the disadvantaged. After 1968, school districts began to concentrate program efforts on fewer pupils with the expectation that more programs would be successful. Since 1968 the number of program participants has decreased from 98,769 to 56,093 in the 1970-71 school year (Table 1). Along with the increased concentration of services per child came an increased number of programs in which the State's most seriously disadvantaged pupils did well.

Programs serving the severely disadvantaged are defined as those programs where the average pre-test achievement scores are at least one year below grade level. 142 of the State's 351 compensatory programs served severely disadvantaged pupils in 1970-71. In 109 of these 142 programs the pupils achieved, on average, a year or more growth in basic skill areas over the course of 1970-71. Seventy-nine (79) of the 109 exemplary districts served public pupils; the remaining programs served non-public pupils.

B. Is there a relationship between cost/intensity and probability of success?

Reading test gain rates for the 79 public exemplary programs were compared to five other factors by means of product moment correlation coefficients. The results of the correlation tests for the public school exemplary programs show that program costs are positively related to program test results (Table 2).

In order to insure that this finding was not peculiar to the exemplary programs the test was replicated for all 145 public programs serving elementary grades and having pre-treatment and post-treatment reading test data. The positive relationship between program costs and rate of achievement proved consistent ($r=+.292$, significant at the 1% level).

Program cost data are presented in table 3.

C. Limitations of the Data

Standardized achievement test data are reported by program in varying measurement units which required computational conversion to a comparable rate of gain which may introduce some degree of bias to the data.

CONNECTICUT - TABLE 1

COMBINED COMPENSATORY PROGRAM STATISTICS: 1970-71

UNDUPLICATED COUNT OF PUPILS AND COMBINED STATE AND FEDERAL AID

Year	Public Pupils	Nonpublic Pupils	Total Pupils	State and Federal Dollars	Program Per Pupil Expenditure
1970-71	50,775	5,318	56,093	$18,662,744	$333
1969-70	59,633	8,276	67,909	18,466,605	272
1968-69	69,119	8,042	77,161	13,895,775	180
1967-68	92,198	6,571	98,769	13,889,171	140
1966-67	71,084	4,406	75,490	13,544,765	179
1965-66	58,018	2,788	60,806	8,631,431	141

CONNECTICUT - TABLE 2

EXEMPLARY PROGRAMS IN PUBLIC ELEMENTARY SCHOOLS

RELATIONSHIP BETWEEN READING TEST GAIN RATES AND OTHER FACTORS

Variable	Number of Programs	Correlation Coefficient	Relationship
grade promotion	73	+ .03	not significant
school attendance	70	- .01	not significant
program $ expenditure	75	+ .32	significant (.01 level)
town $ expenditure	75	+ .12	not significant
program hours	75	+ .10	not significant

Compensatory Education in Connecticut 1970-71 prepared by the Connecticut State Department of Education. p 5 28 Source: 15.

CONNECTICUT - TABLE 3

Type of Compensatory Program	Median per pupil expenditure
Exemplary programs in public elem. schools	$383
All elementary compensatory reading programs	337
All compensatory programs	357

Compensatory Education in Connecticut 1970-71 prepared by the Connecticut State Department of Education Source: 15.

APPENDIX E

RHODE ISLAND

A. Does Compensatory Education Work?

Evaluation of published results of standardized statewide Gates-MacGinitie reading tests administered to participants in compensatory reading programs for two consecutive academic years (1968-69 and 1969-70) indicates that substantial gains were made during each year's participation in the compensatory reading programs. More than 3,000 pupils were tested each year; all were educationally deprived children attending schools serving the highest proportion of low income families.

An examination of the pre-program test scores shows that the participants average reading level was well below their grade level. This was increasingly true with each successive grade (Table 1). Examining the post-program test scores shows these same problem readers gaining in average reading scores at a faster than normal rate for their ages during the course of the compensatory program (Table 2).

Examination of the second year's (1969-70) post test scores reveals that the average reading score for 2nd, 3rd, 6th and 10th grade was at or above grade level, and all other average grade scores had shown substantial increase, although not yet reaching grade level. This was an improvement over the previous years (1968-69) test results, where only the 2nd grade average post test score was at or above grade level.

In terms of average monthly gains, the compensatory reading pupils in grades 2 through 10 showed a pre-program range of 0.5 to 0.8 months for each month of school, with 0.7 as the average for all grades. These same children, re-tested at the completion of that year's compensatory reading program, displayed gains ranging from 0.8 to 2.4 months gain for each month of school, with the average for all grades climbing to 1.2 months for each month of school.

Results for the 1969-70 school year were even more dramatic. Average monthly gains for all grades was 0.6 at the beginning of the school year and climbed to an all-grades average of 1.9 months gain for each month of the compensatory reading program. This means that children whose reading performance gain was only slightly more than half the normal gain rate were now gaining at almost twice the normal gain rate. The grade by grade average gain ranged from 1.1 to 3.5 months for each month of school.

A review of unpublished reading test results for more than 3,000 of these children tested during the 1970-71 school year shows that approximately 60% of the children are performing above the upper norm for disadvantaged (0.7 average monthly gain) in the area of vocabulary and approximately 55% are performing above 0.7 in reading comprehension.

B. Is there a Relationship between Cost/intensity and probability of Success?

During the 1970-71 school year more than 3,000 of the compensatory reading pupils received pro-program and post-program standardized achievement tests. These tested children attended 18 different school districts. The per pupil expenditure for the compensatory reading program differed in each school district. The average monthly gain figures for each pupil based on their post-test achievement scores are divided into three performance groups - low, average and high. The per pupil expenditure for the compensatory reading program could then be associated with one of the three performance groups with the following results:

Direct Compensatory Reading costs (PPE) Related to Grouped Achievement Scores

Per Pupil Expenditures for Compensatory Reading Programs Achievement Level

	Low (AMG 0.7)	Medium (AMG 0.7 - 1.0)	High (AMG 1.0)
Vocabulary	$224	$240	$247
Reading Comprehension	$218	$238	$258

The differences in per pupil expenditures for both vocabulary and comprehension scores is consistent but of small magnitude - ranging from $218 to $258 between the lowest and highest achieving groups.

1/ Source of the above table is unpublished data collected by the Rhode Island State Agency for Elementary and Secondary Education: 1970-71 school year.
Grades included = 2 - 6
Standardized Test = Gates-MacGintie Vocabulary and Reading Comprehension
Average Monthly Gain = AMG = $\frac{\text{Post test grade score - pre test grade score}}{\text{number of elapsed months between tests}}$
AMG for disadvantaged children = 0.7 (upper boundry)
AMG for normal learners = 1.0 (National norm)

RHODE ISLAND - TABLE 1

PRE-AND POST-TEST READING ACHIEVEMENT DATA, FY-70

Grade	Combined Pretest	Combined Posttest	PAMG	AMG
1 (N=23)	1.5	[illegible]		.3
2 (N=856)	1.6	[illegible]	.5	1.1
3 (N=764)	2.0	3.0	.4	1.4
4 (N=364)	2.6	3.6	.4	1.3
5 (N=339)	3.3	4.5	.6	1.6
6 (N=204)	5.0	6.1	.8	1.6
7 (N=242)	4.4	6.0	.6	2.2
8 (N=175)	5.4	7.1	.6	2.4
9 (N=194)	6.1	7.5	.7	3.5
10 (N=35)	9.0	10.0	.8	1.8
TOTAL (N=3196)			.6	1.6

Source: Title I, Elementary and Secondary Education Act in Rhode Island - Fifth Annual Evaluation/Fiscal Year 1969-70, published by the Rhode Island State Agency for Elementary and Secondary Education. p. 43.

RHODE ISLAND - TABLE 2

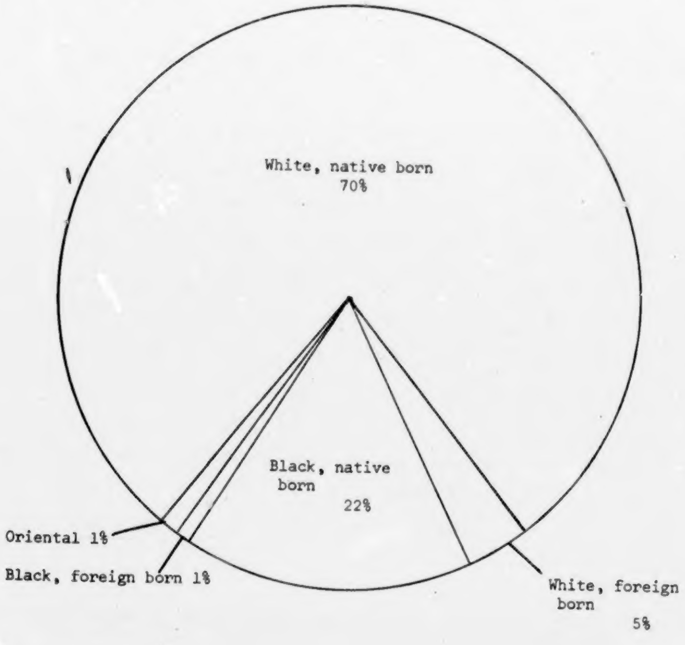
COMPARISION OF READING ACHIEVEMENT DATA
FOR THE YEARS 1968-69 and 1969-70

Grade	Pretest 1969	 1970	Posttest 1969	 1970	PAMG 1969	 1970	AMG 1969	 1970
1	1.4	1.5	1.7	1.8	---	---	.3	.3
2	1.6	1.6	2.2	2.3	.5	.5	.8	1.1
3	2.2	2.0	2.9	3.0	.5	.4	.9	1.4
4	2.8	2.6	3.6	3.6	.6	.4	.9	1.3
5	3.9	3.3	4.8	4.5	.7	.6	1.1	1.6
6	4.6	5.0	5.3	6.1	.7	.8	.9	1.6
7	5.3	4.4	6.5	6.0	.7	.6	1.3	2.2
8	6.2	5.4	7.0	7.1	.7	.6	1.2	2.4
9	6.9	6.1	8.4	7.5	.8	.7	1.7	3.5
10	7.8	9.0	9.4	10.0	.7	.8	2.4	1.8
			average:		**.7**	**.6**	**1.2**	**1.9**
			median:		**.7**	**.6**	**1.9**	**1.6**

Source: **Title I, Elementary and Secondary Education Act in Rhode Island - Fifth Annual Evaluation/Fiscal Year 1969-70, published by the Rhode Island State Agency for Elementary and Secondary Education. p. 48.**

RHODE ISLAND - TABLE 3

RACIAL CHARACTERISTICS OF TITLE I ENROLLEES, FY-70
N = 16,843



Source: Title I, Elementary and Secondary Education Act in Rhode Island - Fifth Annual Evaluation/Fiscal Year 1969-70, published by the Rhode Island State Agency for Elementary and Secondary Education. p. 13.

APPENDIX F

Texas

A. Does Compensatory Education Work?

In 1970-71 more than 1,000 of Texas' 1200 school districts participated in compensatory education programs. In order to evaluate compensatory education programs a representative sample of 243 districts containing 1,438,820 pupils=51.3% of the total State enrollment in public elementary and secondary schools was selected for intensive review.

A total of 67,777 pupils participated in compensatory reading programs. (Table 1) Grades 2 through 8 accounted for 50,422 (74.4%) of these pupils. Pre-test and post-test standardized reading scores exist for 11,064 (22%) of these elementary pupils. (Table 2) Further, the sample was divided by size of district with "large" districts defined as those with an average daily attendance of 17,000 or more. The remaining districts in the sample are described as medium in size. The average monthly gain in reading scores between the pre-tests and post-tests was 0.8 for both large and small districts in the sample. This is slightly above the national norm of 0.7 average monthly gain for untreated disadvantaged children but below the national norm of 1.0 per month gain for average children.

An examination of monthly gains by grade for each sample group shows that 5,177 (47%) of the tested pupils gained at a rate which exceeds the typical upper norm of 0.7 for disadvantaged children. Thirty-three percent gained at a rate of 0.7, and the remaining 20% at lower rates.

B. Is there a relationship between cost/intensity and probability of success?

The per pupil expenditure for compensatory reading programs was quite different for the two sample groups (Table 3). Large districts spent $170 per pupil while medium districts expended $234 per pupil. While there is no difference in the average gain scores for the two groups the medium sized districts were able to raise the reading achievement of pupils in grades 2 and 4 to the normal rate. This is very weak evidence since we know the problems are greater in larger cities.

C. Limitations of the Data

These are the most problematic data. The Texas Education agency concluded that the major problem areas exist in dealing with the achievement test data described above.

"Standardized test data were requested from all districts where academic programs were conducted for educationally disadvantaged pupils. The results were reported in mean grade equivalents for all pupils tested in a particular subject area. However, due to numerous problems, the information was very difficult to use in a statewide analysis of the effectiveness of the programs. Districts were not provided guidelines for selecting standardized tests for these programs. Results received were from a wide variety of tests and combinations of tests. Not all pupils were administered standardized tests. Testing periods differed from one district to another. Some tested in both the fall and spring; some only in the fall; others only in the spring. For comparison test results had to be converted to a like base which cause some distortion of the data. It can only be assumed that each pupil received instruction during the full period between test dates. In order to effectively evaluate the progress of students in these programs, attention should be directed toward uniformity in test selection and administration, and processing and reporting test results.

Both pre and post-tests were not always available; consequently, many districts did not report test results. Therefore, the effects of the programs upon many students were not adequately measured." 1/

1/ Programs for the Disadvantaged - Title I, ESEA Annual Report for 1970-1971 (p. 35) - Prepared by Texas Education Agency. Source: 17.

TEXAS - Table 1

READING (PARTICIPATION BY ETHNIC GROUPS)

Grade Level	Spanish Surname	Negro	Other	Total
Prekindergarten	524	5	30	559
Kindergarten	1,709	398	272	2,379
1	4,494	1,824	1,268	7,586
2	4,505	1,644	2,103	8,252
3	3,874	1,827	2,269	7,970
4	3,573	1,752	2,244	7,569
5	4,199	2,101	2,008	8,308
6	3,543	3,059	1,759	8,361
7	2,323	1,896	1,703	5,922
8	1,706	1,035	1,299	4,040
9	841	527	583	1,951
10	314	286	453	1,053
11	181	226	377	784
12	117	182	308	607
Ungraded	603	33	920	1,556
Special Education	260	336	284	880
Total	32,766	17,131	17,880	67,777

Ethnic Distribution of Participants in Reading:

Spanish Surname	48.3%
Negro	25.3%
Other	26.4%

Source: Programs For The Disadvantaged - Title I, ESEA
Annual Report 1970-1971
Prepared by the Texas Education Agency

TEXAS - Table 2

GRADE	NUMBER OF PUPILS TESTED	MEAN GAIN PER ASSUMED MONTH OF INSTRUCTION	NUMBER OF DISTRICTS
2	985	.7	5
3	1,671	.6	10
4	867	.8	8
5	969	.9	10
6	1,145	.9	8
7	35	.4	22
8	29	.7	2

READING TEST RESULTS PRESENTED IN MEAN GAINS PER ASSUMED MONTH OF INSTRUCTION

(RESULTS FROM LARGE DISTRICTS)

GRADE	NUMBER OF PUPILS TESTED	MEAN GAIN PER ASSUMED MONTH OF INSTRUCTION	NUMBER OF DISTRICTS
2	918	1.0	50
3	1,095	.7	57
4	850	1.0	61
5	973	.7	52
6	543	.6	37
7	428	.8	24
8	556	.7	27

READING TEST RESULTS PRESENTED IN MEAN GAINS PER ASSUMED MONTH OF INSTRUCTION

(RESULTS FROM MEDIUM DISTRICTS)

Source: Programs for the Disadvantaged - Title I, ESEA
Annual Report 1970-71
Prepared by the Texas Education Agency

TEXAS - Table 3

PER PUPIL EXPENDITURE FOR COMPENSATORY PROGRAM INSTRUCTION

	MEDIUM DISTRICTS	LARGE DISTRICTS
English Language Arts	$232	$142
Reading	234	170
Mathematics	105	186
Enrichment Activities	44	9

PERCENT OF TOTAL SAMPLE PARTICIPANTS WHO RECEIVED INSTRUCTION IN EACH SUBJECT

SUBJECT AREA:	
English Language Arts	24.2
Reading	30.5
Mathematics	10.9
Enrichment Activities	18.6
Other Instructional Areas	12.6

Source: Programs for the Disadvantaged - Title I, ESEA
Annual Report 1970-71
Prepared by the Texas Education Agency

APPENDIX G

WISCONSIN

Issue: Does Compensatory Education Work?

The Fiscal Year 1971 Wisconsin annual evaluation of Title I projects is the most comprehensive in terms of cognitive data for the state. Average monthly gains of Title I pupils exceeded .1 grade equivalents (GE) per month in both reading and arithmethic compared with the .07 GE/month which is the normal for disadvantaged pupils. A 20% random sample of projects was drawn for both reading and mathematics; however, the reading sample is probably more representative because it contained 3,440 pupils showing an average grade equivalent per month gain of .1144 while the math sample contained 574 pupils showing an average grade equivalent per month gain of .15. (See Tables 1 and 2 for reading and math achievement chart summaries by grade.)

A more adequate description of reading achievement is displayed in Table 3 showing the number of pupils in varying ranges of achievement levels; 69% of all the pupils sampled were in programs where the average rate of achievement for their grade level equaled or exceeded .09 GE/month. The average per pupil expenditure for the reading sample was $207.

Selected Wisconsin Site

During FY 71 the Wisconsin Research and Development Center for Cognitive Learning conducted a field test for its reading product, The Wisconsin Design for Reading Skill Development, in the first five grades of five Milwaukee inner city schools with 96% to 99% black enrollments. Four of the five schools had a substantial percent of families eligible for Title I, ranging from 22% to 37%. Program implementation called for professional staff development, aide involvement, and use of newly developed materials.

Gains in achievement at all grade levels on program embedded tests were observed, and statistically significant changes on standardized measures of work attack were observed for Grades 1 and 2, using school means within grade as the unit of analyses. Third grade children (30% Title I) in one school showed particularly dramatic gains. Prior to program implementation their mean performance was at the 5th percentile on the word analysis sub-test of the Comparative Primary Test; it was at the 22nd percentile after six months in the program. Thus, in relation to other children of the norm group children in the reading program improved.[1]

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[1] Quilling, Mary R. and Otto, Wayne. Evaluation of the Work Attach Element for the Wisconsin Design for Reading Skill Development: An Interim Report on the Large Scale Field Test, Technical Report No. 207 from the Wisconsin Research and Development Center for Cognitive Learning, The University of Wisconsin, January, 1972, and information received directly from M. Quilling.

Issue: Is There a Relationship Between Cost/Intensity and Probability Of Success?

Wisconsin performed a correlation and regression analysis on the relation between the intensity of effort and reading achievement in the FY 71 state report of Title I. (See Table 4) Of interest were the results due to various adult-to-child ratios. The number of volunteers, number of parent (paid) aides and pupil/teacher ratio had low to moderate correlations with achievement gains, whereas other program attributes had little or no relationship to gain. Specifically, fewer pupils per teacher resulted in a large gain, and more volunteers or aides were associated with higher gains. "Cost" of the projects in the aggregate did not correlate with achievement, but the pupil-teacher ratio is an appropriate measure of educational resource investment intensity.

Regression toward the mean was uncontrolled, inasmuch as some projects identified Title I pupils after pretest information was in hand. Mean gains could thus have been artificially inflated.

Limitations of the Data

The 20% random sample of Wisconsin school districts in the FY 1971 Title I evaluation included mainly towns of less than 10,000 population and nearly all-white. It thereby biased the sample in terms of what kind of community was represented and included 10% of the pupils in reading projects and 5% of the pupils in math projects in the data base.

The unit of information received by the Department of Public Instruction from Title I projects was mean change in grade equivalents by grade. The State report utilized unweighted project means so that the summary statistics are project averages. Wisconsin does not have a statewide testing program; therefore, the rate of gain on different tests was reported by different LEA's.

WISCONSIN - TABLE 1

Wisconsin - Statewide Reading Summary

Grade Level	Mean Gain In GE/Month of Instruction	Standard Deviation of Mean	Standard error of mean with error correction	Number of Students	Number of Projects
First	.1127	.0646	.0167	309	15
Second	.1023	.0533	.0085	765	39
Third	.122[illegible]	.0961	.0156	701	38
Fourth	.1067	.0620	.0108	497	33
Fifth	.1203	.0508	.0927	439	30
Sixth	.0957	.0668	.0139	264	23
Seventh	.1209	.0464	.0140	279	11
Eighth	.0900	.0517	.0172	96	9
Ninth	.1733	.1358	.0784	32	3
Tenth	.1467	.1332	.0769	55	3
Eleventh	.2300	-	-	3	1
Twelfth	N/A	N/A	N/A	None included	
Total				3,440	

SUMMARY

Although the average rate of achievement for all projects was above an expected rate of achievement [1], the large standard deviation values for the average rate at each grade level show this average rate per grade level score to have little descriptive value. For example, in grade level 3, scores within 1 standard deviation of the mean range from .05 GE/month to .16 GE/month. To more adequately describe the achievement of students test scores were tabulated in ranges showing the number of students who participated in programs for which the average rate of achievement by grade level was; .00-.04, .05-.08, -.09 and .10 or more grade equivalents per month. This tabulation showed that a majority of students (69.3%) took part in programs for which the average rate of achievement for their grade level equaled or exceeded .09 grade equivalents per month.

[1] .10 Grade Equivalent Per Month is taken as an expected level of achievement. .1144 equaled the average rate of achievements for all programs.

Source - Wisconsin Annual Evaluation Report Title I, ESEA, FY 1971, 15,17.

WISCONSIN - TABLE 2

Wisconsin - Statewide Mathematics Summary

Grade Level	Mean Achievement Rate	Standard Deviation of Mean	Standard Error of Mean with Error Correction	Number of Students	Number of Prjects
First	.1467	.1349	.0551	118	6
Second	.1488	.0917	.0324	150	8
Third	.1700	.0838	.0296	113	8
Fourth	.1583	.1049	.0423	93	6
Fifth	.1700	.1273	.0636	64	4
Sixth	.2850	.2051	.1450	12	2
Seventh	.1700	–	–	7	1
Eighth	.1300	.0141	.0100	7	2

Total -- 574

.10 Grade Equivalent Per Month is taken as an expected rate of gain of achievement level. .15 equaled the average rate of achievement for all programs.

Source: Wisconsin Annual Evaluation Report Title I, ESEA, FY 1971 p.28

WISCONSIN TABLE 3

READING ACHIEVEMENT

Range = Number of Grade Equivalents Per Month

	.00-.04		.05-.08		.09		.10-7		Total at .09 or greater	
Grade	Children	Proj.	Children	Proj.	Children	Proj.	Children	Proj.	Children	Proj.
1	12	3	4	1	8	1	285	10	293	11
2	21	3	168	12	289	8	287	16	576	24
3	35	4	198	11	91	2	377	21	468	23
4	86	4	148	9	109	5	154	15	263	20
5	4	1	147	7	39	3	249	19	288	22
6	38	6	65	3	60	5	101	9	161	14
7	2	1	7	1	0	0	270	9	270	9
8	5	1	66	4	11	1	14	3	25	4
9	0	0	0	0	3	1	29	2	32	3
10	0	0	50	2	0	0	5	1	5	1
11	0	0	0	0	0	0	3	1	3	1
12	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Total	.203		853		610		1774		2384	
% of Total	5.9%		24.8%		17.7%		51.6%		69.3%	

Source - Wisconsin Annual Evaluation Report Title I, ESEA, FY 1971, p. 18

WISCONSIN - TABLE 4

Wisconsin Title I Correlation Between Intensity of Effort and Probability of Success

Variable Name	Coefficient of Multiple Correlation	Coefficient Of Determination	Significance Level	Number of Variables in the Equation
Parent Aides	.4310	.1857	.003	2
Pupil/Teacher Ratio	.5964	.3557	.002	3
Cost	.6034	.3641	.459	4
Percent Low Income	.6104	.3726	.460	5
Interest	.6141	.3771	.597	6
Inservice Teachers	.6194	.3837	.521	7
Reading Instruction	.6221	.3870	.652	8
Percent in Reading	.6248	.3904	.656	9
Length of Instruction	.6277	.3940	.645	10
Volunteers	.6277	.3940	.973	11

ANALYSIS OF VARIANCE SUMMARY TABLE WITH TWO VARIABLES (PARENT AIDES AND PUPIL/TEACHER RATIO)

Source of Variation	Sum of Squares	Degrees of Freedom	Mean Square
Linear Regression	425.84810	2	212.92405
Residuals from Regression	771.45625	43	17.94084
Corrected Total	1197.30435	45	

F Ratio = 11.87
Significance Level = .0001

Source - *Wisconsin Annual Evaluation Report - Title I, ESEA, FY 1971, P. 24*

APPENDIX H

State Reports: Brief Summaries

<table>
<tr><th>Description of the Study</th><th>Achievement Results</th><th>Relationship Between Const/Intensity & Achievement Gain</th><th>Comment</th></tr>
<tr><td>North Dakota State Annual Evaluation of Title I - FY 70
Sample of 30 Title I reading projects reporting achievement data from one of three standardized tests</td><td><table>
<tr><th>Type of Test</th><th># Pupils</th><th>Aver. GE Gain</th></tr>
<tr><td>Gates-MacGinitie</td><td>380</td><td>1.26</td></tr>
<tr><td>SRA</td><td>353</td><td>.76</td></tr>
<tr><td>ITBS</td><td>210</td><td>.83</td></tr>
</table></td><td></td><td>Test scores are presented by grade level in the report. Gains generally decreased as the grade level increased. Many small LEA's are served by Title I. No information is presented on the characteristics of the Title I pupils showing achievement gains.</td></tr>
<tr><td>Oregon State Annual Evaluation of Title I - FY 70
Sample of 31% of all regular year Title I participants and 11% of summe[illegible] I participants. Percen[illegible] n four standardized achieve[illegible] sts ar[illegible] iven.</td><td><table>
<tr><th></th><th colspan="2">Regular Year Reading</th><th colspan="2">Summer Term Reading</th></tr>
<tr><th>Type of Test</th><th>Mean Pre-Test Percent.</th><th>Mean Post-Test Percent.</th><th>Mean Pre-Test Percent.</th><th>Mean Post-Test Percent</th></tr>
<tr><td>Stanford</td><td>22.7</td><td>34.9</td><td>23.5</td><td>26.8</td></tr>
<tr><td>Metropolitan</td><td>39.7</td><td>56.1</td><td>33.1</td><td>44.0</td></tr>
<tr><td>Gates</td><td>25.9</td><td>36.2</td><td>22.1</td><td>26.3</td></tr>
<tr><td>Calif.</td><td>25.9</td><td>35.2</td><td>45.9</td><td>51.8</td></tr>
</table></td><td></td><td>Test scores are not presented by grade level. Both regular and summer projects showed percentile improvements with greater gain shown by the full year program.</td></tr>
<tr><td>[illegible] tion of
[illegible] e standard- [illegible] ample of 2,217 [illegible] 3-8 are presented.</td><td><table>
<tr><th>Type of Test</th><th># Pupils</th><th>Aver. GE Gain</th></tr>
<tr><td>Stanford</td><td>655</td><td>.79</td></tr>
<tr><td>ITBS</td><td>1,287</td><td>.86</td></tr>
<tr><td>Gates-MacGinitie</td><td>275</td><td>.92</td></tr>
</table></td><td></td><td>Gains are presented by grade level, pre and post-test status is not shown</td></tr>
<tr><td>Arkansas State Annu[illegible]luation of Title I - FY 70 - Random sample of elementary and secondary pupils:<table>
<tr><th></th><th>Elem. pupils</th><th>Sec. Pupils</th></tr>
<tr><td>Sample from population</td><td>12,562</td><td>7,927</td></tr>
<tr><td># Title I</td><td>3,996</td><td>2,054</td></tr>
</table></td><td>Percentage based on Title I children only<table>
<tr><th>Post Test Reading Level</th><th>Elem. Pupils</th><th>Sec. Pupils</th></tr>
<tr><td>1 + yr. below grade</td><td>45%</td><td>65%</td></tr>
<tr><td>2 + yr. below grade</td><td>16%</td><td>17%</td></tr>
<tr><td>at or above grade</td><td>23%</td><td>22%</td></tr>
</table></td><td></td><td>Post test data shows that a higher percentage of the Title I children than the national norm are still achieving below grade level. The lack of pre-test information precludes any determination of rate of improved achievement within this known group of low achievers.</td></tr>
</table>

State Reports: Brief Summaries

Description of the Study	Achievement Results			Relationship Between Cost/Intensity & Achievement Gain	Comment
Louisiana - FY - 69		Pre-Test	Post Test		
Percentile distributions (Reading Achievement) 70,263 (pre) and 73,707 (post) Title I students by grade for 23 LEA's	% of students in lowest Quartile	53%	47%		
	% of students in lowest percentiles	34%	31%		
Louisiana FY 70 Percentile distributions (Reading) for 86,037 (pre) and 88,897 (post) Title I students by grade and LEA. Similar studies for math, science and social studies are not summarized here.		Pre	Post		
	% of students in lowest quartile	50%	50%		
	% of students in lowest 12 percentiles	31%	30%		
Louisiana FY 71 Same as FY 70 except the Reading tests covered 39,974 (pre) and 40,089 (post) Title I students. Estimated total Title I reading program 94,825.		Pre	Post	Average PPE for Reading $64.00	Primary factors affecting analysis of summary data 1. School districts lacked uniformity in the kinds of tests administered. 2. Pre and Post testing not always done during same school year
	% of students lowest quartile	53%	54%		
	% of students in lowest 12 percentiles	35%	33%		
	% of students performing at or above grade level	45%	47%		
Ohio FY 69 Test sample includes an apparently representative group of 84,525 Title I children	Number and % of Pupils by Gain Rate for Communication Skills-Grades 1-12			Average PPE for Communication Skills $249	
		Gain Greater than 1.0	Gain less than 1.0		
	# of Pupils	52,793	31,732		
	% of Pupils	63%	37%		

<table>
<tr><th>Description of the Study</th><th>Achievement Results</th><th>Relationship Between Cost/Intensity & Achievement Gain</th><th>Comment</th></tr>
<tr>
<td>Ohio FY 70

Standardized tests in reading and language arts test results reported for 85,464 Title I children.</td>
<td>Number and % of pupils by Gain Rate for Reading and Language Arts

Pre-K - 12th Grade
<table>
<tr><th></th><th>Gain Greater than 1.0</th><th>Gain Less than 1.0</th></tr>
<tr><td># of Pupils</td><td>46,443</td><td>39,121</td></tr>
<tr><td>% of total</td><td>54%</td><td>46%</td></tr>
</table>
</td>
<td>Average PPE for Reading/Language Arts

$226</td>
<td>Total participants in reading and language arts reported as 79,725 although 85,464 tests reported. Some children were evidently tested in more than one program.</td>
</tr>
<tr>
<td>Minnesota State Annual Evaluation of Title I - FY 69

Randomly selected samples of regular school year and summer school Title I program participants-193 pupils in basic skills sample

1,630 pupils in reading sample</td>
<td>Basic Skills Gain GE/Month
<table>
<tr><th></th><th>≥.10</th><th>No gain</th></tr>
<tr><td># Pupils</td><td>75</td><td>30</td></tr>
<tr><td>%</td><td>39%</td><td>16%</td></tr>
</table>
Reading - Gain GE/Month
<table>
<tr><th></th><th>≥.10</th><th>No gain</th></tr>
<tr><td># Pupils</td><td>895</td><td>120</td></tr>
<tr><td>%</td><td>55%</td><td>7%</td></tr>
</table>
</td>
<td></td>
<td>No pre-test or post-test states measures are given nor is there a breakdown by grade level.</td>
</tr>
<tr>
<td>New Jersey State Annual Evaluation of Title I - FY 70</td>
<td>Percentage of Pupils who gained in GE/Month ≥ .10
<table>
<tr><th>Grade</th><th>Reading</th><th>Math</th><th>Compre. Total</th></tr>
<tr><td>2</td><td>73%</td><td>53%</td><td>50%</td></tr>
<tr><td>4</td><td>61%</td><td>57%</td><td>44%</td></tr>
<tr><td>6</td><td>59%</td><td>67%</td><td>56%</td></tr>
</table>
</td>
<td></td>
<td>No pre-test or post-test status scores are presented nor are mean gain scores given.</td>
</tr>
</table>

State Reports: Brief Summaries

Description of the Study	Achievement Results	Relationship Between Cost/Intensity & Achievement Gain	Comment
New Mexico - FY - 70 Random sample of pre-post score gains reported by grade. The number of districts supplying data ranged from 3 (grade 12) to 38 (grade 4). The total number of children tested is unknown although all are Title I participants.	Average Reading Improvement in Grade Equivalency 0.9 The improvement by grade for all grades except grade 10 ranged from 0.9 to 1.2 The improvement for grade 10 - 0.4		See sample limitation in description of study (1st column)
New Mexico/FY - 71 Total Estimated Title I Participants 54,041 Reading and Language Arts - approximately 50% Mathematics - aporox.8% Universe tested is unknown	Average Reading Gain by % of LEA's Participating in Language Arts Programs Gain / Year: ≥1.1 / 0.6-1.0 / ≤0.6 % of LEA's 44% 39% 17% Average Math Gain by % of LEA's Participating in Math Program Gain / Year: ≥1.1 / 0.6-1.0 / <0.6 % of LEA's 31% 54% 15.2		No description of test used nor of total universe of children nor tested sample of children.

<table>
<tr><th>Description of the Study</th><th>Achievement Results</th><th>Relationship Between Cost/Intensity & Achievement Gain</th><th>Comment</th></tr>
<tr><td>Michigan - FY 71
Annual Evaluation Report
133,744 Title I Students with
66% in grade K-6
44% in school year only
26% in summer only
30% in school year and summer</td><td>Frequency of Level of GEU Gains in Mathematics by grade Group: School Year Components
<table><tr><th></th><th colspan="3">Level of GEU Gain</th><th></th></tr><tr><th>Grade Group</th><th>Less than .5</th><th>.5-1.0</th><th>1.0 or Greater</th><th>Total</th></tr><tr><td>1-6</td><td>11</td><td>55</td><td>15</td><td>61</td></tr><tr><td>7-8</td><td>4</td><td>5</td><td>1</td><td>10</td></tr><tr><td>9-12</td><td>0</td><td>0</td><td>0</td><td>0</td></tr><tr><td>Total</td><td>15</td><td>40</td><td>16</td><td>71</td></tr></table>
Frequency of Level of GEU Gains in Reading by Grade Group: School Year Components
<table><tr><th></th><th colspan="3">Level of GEU Gain</th><th></th></tr><tr><th>Grade Group</th><th>Less than .5</th><th>.5-1.0</th><th>1.0 or Greater</th><th>Total</th></tr><tr><td>1-6</td><td>87</td><td>226</td><td>213</td><td>526</td></tr><tr><td>7-8</td><td>10</td><td>25</td><td>28</td><td>63</td></tr><tr><td>9-12</td><td>4</td><td>4</td><td>20</td><td>28</td></tr><tr><td>Total</td><td>101</td><td>255</td><td>261</td><td>617</td></tr></table></td><td></td><td>Data not available on number of students in each group.</td></tr>
</table>

Description of the Study	Achievement Results	Relationship Between Cost/Intensity & Achievement Gain	Comment
Iowa - (FY 69) - Title I Basic Skills a. 18,000 pupils with matched achievement test scores b. Sample of 1960 tested for reading comprehension	a. Overall year's achievement in basic skills during one year of school was .8/year. b. Overall gain in reading achievement was .9 for the year.		
Missouri (FY 69) 15,00 pupils with pre and post test reading scores for Title I participants in Grades 1-12.	Mean gain in achievement was .8 for one year of schooling.	$156	Four different standarized tests used
Kansas FY 71 **Kansas Annual Evaluation Report** 63,189 Title I participants 43,138 in grades 2-8 Almost 27% of all Title I participants are minority with Negroes about 21% of the total.	**California Achievement Test, Total Reading** (8 months between pre-test and post-test) Grades / # Pupils / Months mean Gain Pre-test to Post-Test 2-8 / 1537 / 8.9 **Gates-MacGinite Reading Test** (8 months between pre-test and post-test) 2-8 / 1254 / 10.7 **Metropolitan Reading Test** (8 months between pre-test and post-test) 2-8 / 633 / 7.7 **Stanford Achievement Test (Reading)** (8 months between pre-test and post-test) 2-8 / 1594 / 8.2		

State Reports: Brief Summaries

Description of the Study	Achievement Results	Relationship Between Cost/Intensity & Achievement Gain	Comment
Indiana State Title I Evaluation Report FY '70	Achievement data presented in the FY '70 Indiana report are presented in almost every conceivable format and cannot be summarized in any meaningful way. Results are presented separately for five regional areas. Within areas some data are broken down by grade level and some are not. Some subgroups are represented by posttest scores only, others by both pre and posttest scores. Scores are sometimes reported in raw-score form, other times by various types of standardizations, percentiles, and grade equivalents. Sometimes differences between pre and posttest scores are statistically evaluated, other times they are not. There are both positive and negative findings with respect to Title I success with the balance apparently on the side of success.		

APPENDIX I

Los Angeles City Unified School District

68-69

Issue: Does Compensatory Education Work?

The Los Angeles City Unified School District is the largest school district in the United States and undertakes annual evaluations of Title I using pre-treatment and post-treatment achievement data for reading and mathematics. There are at least three major and separate compensatory efforts in reading for disadvantaged children being tried at present. Achievement data results are now available for two of these efforts and these will be discussed in turn. Without question, the challenge in providing compensatory help to disadvantaged children is larger in the urban setting.

Title I Schools

The district enrolls 54,000 elementary pupils in Title I reading and mathematics programs.[1]

The 55 Title I elementary schools in Los Angeles include the most disadvantaged children in the city and we are informed that they are among the most disadvantaged in the state. There are many more schools with significant proportions of Title I eligible children but these 55 schools are those enrolling the children judged to have the most severe learning problems.

In this setting compensatory education has been less successful than in the state as a whole. In the elementary grades only 17% to 32% of the children in the Title I schools made achievement gains greater than .7 years per year of instruction (see Los Angeles, Table I)

LOS ANGELES TABLE I

Achievement Gains In Reading For Pupils Receiving Compensatory services in LAUSD Title I Elementary Schools: 1969-71[2]

	Total	Schools		Children		
		Proportion with gains greater than .7 #	%	Total number by grade	Number	Proportion with gains greater than .7/year
Grade 2	55	11	20.0	7,643	1,316	17.2
Grade 3	55	14	25.5	7,815	1,918	24.5
Grade 5	55	18	32.7	7,144	2,179	30.5
Grade 6	55	17	30.9	6,892	2,206	32.0

1/ Source: 51 p. 3

2/ Source: 51 p. 62

Another way of looking at these results is to compare the outcomes for grades as a whole. For the two years, 1969-71, no grade met the district objective of an overall gain of one year per year of school (see Table LA II below). The best that can be said is that 7 of 12 reading cases showed overall gains for the ingrades above. .7 year per yer of instruction.

In arithmetic five grades came up to the level of 1 year per year of instruction gain and 7 of the 8 cases presented showed gains of .7 per year of greater (see following, Los Angeles, Table II).

TABLE: LOS ANGELES II

- Comparison of Test Scores and Gains
In All 55 Title L Elementary Schools, 1969-70 and 1970-71

READING

Grade	Year	Pre GE*	Post GE*	Difference	Objective	GE for 50th %ile on Test	Yrs/Mos Below Grade
1	'69-70		1.8	(0.8)	(0.8)	1.8	0.0
1	'70-71		1.7	(0.7)	(0.8)	1.8	-0.1
2	'69-70	1.5	2.0	0.5	1.0	2.8	-0.8
2	'70-71	1.8	2.1	0.3	1.0	2.8	-0.7
3	'69-70	1.9	2.8	0.9	1.0	3.8	-1.0
3	'70-71	2.0	2.6	0.6	1.0	3.8	-1.2
4	'69-70	2.9	3.8	0.9	0.7	4.8	-1.0
4	'70-71	2.8	3.5	0.7	0.8	4.8	-1.3
5	'69-70	3.3	4.1	0.8	0.7	5.8	-1.7
5	'70-71	3.5	4.1	0.6	0.8	5.8	-1.7
6	'69-70	3.8	4.7	0.9	0.6	6.8	-2.1
6	'70-71	4.0	4.6	0.6	0.7	6.8	-2.2

ARITHMETIC

Grade	Year	Pre GE*	Post GE*	Difference	Objective	GE for 50th %ile on Test	Yrs/Mos Below Grade
3	'69-70	1.9	3.0	1.1	0.7	3.8	-0.8
3	'70-71	2.0	3.0	1.0	0.8	3.8	-0.8
4	'69-70	2.8	3.9	1.1	0.7	4.7	-0.8
4	'70-71	2.6	3.6	1.0	0.8	4.7	-1.1
5	'69-70	3.5	4.6	1.1	0.7	5.7	-1.1
5	'70-71	3.5	4.4	0.9	0.8	5.7	-1.3
6	'69-70	4.5	5.2	0.7	0.6	6.7	-1.5
6	'70-71	4.5	5.1	0.6	0.7	6.7	-1.6

*Grade Equivalent (GE) based on median raw scores
Grades 1-3 in Reading - All pupils
All others - Matched

Source: 51

Comparison group analysis

For junior high and high school pupils the district has undertaken further detailed analysis. This compares achivement results for pupils with and without compensatory services in reading and mathematics for children matched on the basis of Intelligence Quotient and for some analyses by ethnicity.

Los Angeles, Table III

Overview of results for comparison of reading and mathematics achievement gains attained by matched pupils with and without compensatory services

All junior high pupils	Total Achievement Categories	Number of categories in which Title I Pupils showed higher gain rate	Number of Categories in which Title I Pupils reached higher Absolute Achievement Levels
All Junior High Pupils	11	6	11
Black Junior Junior High Pupils	11	10	11
Brown Junior High	11	7	9
All Senior High Pupils	11	6	8
Black Senior High Pupils	11	6	9
Brown Senior High pupils	11	5	1

Source: 51 Tables 52-63 pp. 155-166

This overview illustrates two conclusions from the data:

> pupils with compensatory services scored higher in absolute achievement levels than their IQ comparison groups in the overwhelming proportion of cases; the major exception is brown senior high school pupils;
>
> black senior and junior high pupils receiving compensatory services showed a greater incidence of faster gain and higher absolute achievement levels than the total group in the matched comparisons.

In some of these cases there are large differences in rate of gain and absolute achievement between the pupils with compensatory education and those without and in others the differences are small or moderate. What should be remembered is that the pupils with the compensatory services are more economically disadvantaged than those without in this comparison and this suggests, given the matching of IQ, that compensatory assistance has been moderately successful.

Los Angeles Demonstration Program in Reading and Mathematics

This program involved intensive mathematics and reading instruction targeted to 2,000 8th grade low-achieving, low income, largely minority group students in three junior high schools. The special training to raise pupil achievement through prescriptive teaching began in February, 1970, and has continued with the same pupils through 1970-71. Evaluation methodology consisted of the analysis of standardized tests of reading and arithmetic achievement (Comprehensive Tests of Basic Skills) which were administered to comparison pupils of similar ethnicity and program eligibility. The achievement results can be summarized in the following manner for the three junior high schools:

LOS ANGELES TABLE IV[1]

School	Number of 8th grade pupils	Vocabulary	Arithmetic	Reading Comprehension
a	650		pupils surpassed comparison pupils w/ significant gains	
b	600	pupils scored significantly higher than comparison	comparison groups scored significantly higher	comparison groups scored higher
c	750	scores were higher than comparison	all scores were higher than comparison	scores were higher than comparison

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[1] Evaluation Report AB938 Demonstration Program in Reading and Mathematics, 1970-71, Los Angeles Unified School District, Source: 44

Instructional objectives of 10 months gain for 8 months instruction were met or exceeded in 10 of 25 possible conditions - varied by group and subtest. In terms of annual grade equivalent this appears to mean gains of 1.25 years per year of instruction.

APPENDIX J

Sacramento, California

Issue: Does Compensatory Education Work?

A major evaluation of Title I activities and achievement has been conducted by Sacramento, California, for the school year 1970-71. "The findings of this evaluation indicate real progress has been made in raising the achievement of disadvantaged pupils especially of integrated pupils in the Project Aspiration schools."1/ Title I activities were concentrated on six elementary "saturated" schools and two non-public elementary schools received limited services; Project Aspiration was another Title I area of activity and involved 23 receiving schools. Various standardized achievement tests, including Metropolitan Readiness Test and California Achievement Test, were administered to these children and analyzed.

The objectives for the six saturated schools were stated in achievement gain terms. The evaluation presents evidence which shows that compensatory programs and services in these schools were effective in improving pupil performance in reading and math. "In most cases, pupil performance exceeded anticipated performance as stated in the performance objectives established for the project, and while pupils may not be achieving at 'grade level' in all placement levels, the increased percentile rankings indicate that they are moving toward the norm population."2/ Table 1 summarizes the reading achievement results measured for 1,272 children in grades 1-6. The objective of 7.5 months growth for 7.5 months was realized between pre and post-tests for the children in this analysis. Table 2 summarizes the math achievement results measured for 1,356 children in grades 1-6. Again, the objective of 7.5 months growth was met for all grade-placement levels, except for grade 5 which reached a median gain of 7 months; this was equal to the number of months instruction between pre and post-tests.

Project Aspiration was "designed to alleviate the adverse effects of de facto segregation and to provide integrated educational experiences for many children in the district."3/ The program involved the reassignment of approximately 1,600 elementary pupils from six de facto segregated schools to twenty-three receiving schools; and the objectives were stated in achievement gain terms as well as providing ethnically integrated educational experiences. Tables 3 and 4 present the summary of evidence that the stated objectives for reading and math were achieved. The project was effective in promoting improved pupil

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1/ Focus on Reading and Mathematics: An Evaluation Report on a Program of Compensatory Education, ESEA, Title I, Sacramento City Unified School District, July 1971, forward. Source: 61 .

2/ Ibid., p. 123.

3/ Ibid., p. 161.

performance in reading at placement (grade) levels 1-6 (i.e., above 7 months growth for 867 children) and in math achievement at placement levels 2-6 (i.e., above 7 months growth for 917 children.) While the pupils may not be achieving at "grade level" at all levels, the increased percentile rankings indicate they are catching up with the norm.

Limitations of the Data

The achievement data and changes in pupil behavior could not be related to specific services or activities provided by the Title I support and thereby were considered in terms of the total programs.

Source: 61 p. 78 Sacramento: Table 1 78

SATURATED ELEMENTARY SCHOOLS

DISTRIBUTION OF PUPILS IN SIX SATURATED ELEMENTARY SCHOOLS ACCORDING TO
MONTHS OF READING ACHIEVEMENT GROWTH FROM OCTOBER 1970 TO MAY 1971
BY PLACEMENT (GRADE) LEVEL

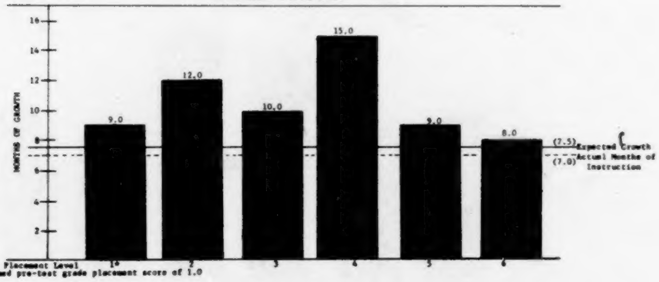
CALIFORNIA ACHIEVEMENT TEST - TOTAL READING

Months of Growth	Distribution of Pupils											
	Grade 1*		Grade 2		Grade 3		Grade 4		Grade 5		Grade 6	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Above 33			1	0.4			3	2.0			1	0.5
33			1	0.4			2	1.3			1	0.5
32							1	0.7				
31												
30												
29					1	0.4	2	0.3				
28	1	0.4					1	0.7			1	0.5
7	5	1.9					2	1.3	1	0.5	1	0.5
26	3	1.2	1	0.4			3	2.0				
25			2	0.8			3	2.0	2	1.0	1	0.5
24	4	1.5	1	0.4			4	2.6	3	1.5	1	0.5
23	4	1.5	1	0.4	2	0.9	6	3.8	1	0.5		
22	6	2.3	5	2.0	1	0.4	6	3.8	1	0.5	2	1.1
21			5	2.0			3	2.0	1	0.5		
20	4	1.5	8	3.2	1	0.4	3	2.0	6	3.0	3	1.6
19	12	4.6	11	4.5	1	0.4	10	6.5	5	2.5	2	1.1
18	5	1.9	6	2.4	2	0.9	9	5.8	5	2.5	1	0.5
17	7	2.7	9	3.7	4	1.8	8	5.2	7	3.5	2	1.1
16	5	1.9	9	3.7	9	4.0	10	6.5	4	2.0	4	2.1
15	12	4.6	11	4.5	11	4.8	7	4.6	10	5.1	3	1.6
14	8	3.1	21	8.6	7	3.1	7	4.6	15	7.6	5	2.6
13	11	4.2	19	7.7	22	9.7	2	1.3	5	2.5	12	6.3
12	8	3.1	19	7.7	21	9.3	10	6.5	13	6.6	12	6.3
11	11	4.2	17	6.9	17	7.5	5	3.3	4	2.0	9	4.7
10	14	5.4	17	6.9	22	9.7	5	3.3	14	7.1	12	6.4
9	19		21	8.6	24	10.7	3	2.0	14	7.1	18	9.5
8	20	7.7	15	6.1	13	5.7	6	3.8	16	8.2	11	5.8
7	31	1.9	12	4.9	16	7.0	6	3.8	12	6.1	12	6.3
6	16	6.2	10	4.0	17	7.5	7	4.6	13	6.6	12	6.3
5	16	6.2	10	4.0	13	5.7	6	3.8	10	5.1	13	6.8
4	12	4.6	6	2.4	8	3.5	3	2.0	6	3.0	12	6.3
3	8	3.1	4	1.6	4	1.8	5	3.3	7	3.5	10	5.3
2	10	3.8	1	0.4	5	2,2	1	0.7	5	2.5	10	5.3
1	7	2.7	1	0.4	1	0.4	1	0.7	6	3.0	7	3.7
0	1	2.6			2	0.9	2	1.3	5	2.5	3	1.6
- 1					2	0.9	1	0.7	1	0.5	2	1.1
- 2					1	0.4			3	1.5		
- 3									1	0.5	2	1.1
- 4											1	0.5
- 5											1	0.5
- 6												
- 7											1	0.5
- 8									1	0.5	1	0.5
- 9											1	0.5
-10 or lower									1	0.5		
No. of Pupils	260	100.0	244	100.0	227	100.0	153	100.0	198	100.0	190	100.0
Median	9.0		12.0		10.0		15.0		9.0		8.0	

*Assumed pre-test grade placement score of 1.0

SATURATED ELEMENTARY SCHOOLS--CHART 2

MEDIAN MONTHS OF GROWTH IN READING ACHIEVEMENT FOR
PUPILS IN SIX SATURATED ELEMENTARY SCHOOLS
BY PLACEMENT (GRADE) LEVEL



*Assumed pre-test grade placement score of 1.0

Sacramento: Table 2

Source: 61 p. 94

SATURATED ELEMENTARY SCHOOLS

DISTRIBUTION OF PUPILS IN SIX SATURATED ELEMENTARY SCHOOLS ACCORDING TO
MONTHS OF ARITHMETIC ACHIEVEMENT GROWTH FROM OCTOBER 1970 TO MAY 1971
BY PLACEMENT (GRADE) LEVEL

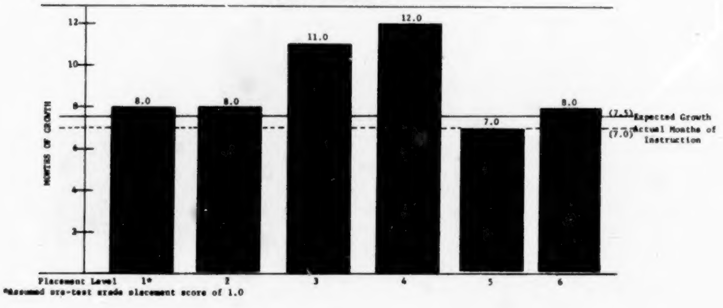
CALIFORNIA ACHIEVEMENT TEST - TOTAL ARITHMETIC

Months of Growth	Distribution of Pupils											
	Grade 1*		Grade 2		Grade 3		Grade 4		Grade 5		Grade 6	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Above 33											1	0.5
33	2	0.6										
32	5	1.5										
31	5	1.5										
30	4	1.2			1	0.5						
29	9	2.7										
28	7	2.1					1	0.5				
27	11	3.3										
26	6	1.8					2	1.1			1	0.5
25	7	2.1	1	0.4			3	1.6	1	0.5	1	0.5
24	16	4.8					4	2.2	2	1.0		
23	17	5.1			2	1.1	1	0.5			1	0.5
22	8	2.4	1	0.4	3	1.6	6	3.2			1	0.5
21	17	5.1			2	1.1	6	3.2			1	0.5
20	25	7.7	3	1.2	3	1.6	6	3.2	2	1.0	1	0.5
19	14	4.2	1	0.4	2	1.1	3	1.6	2	1.0		
18	28	8.6	6	2.5	7	3.7	10	5.4	8	3.8	3	1.5
17	16	4.8	2	0.8	5	2.6	10	5.4	5	2.4		
16	20	6.0	6	2.5	11	5.7	7	3.8	6	2.9	2	1.0
15	31	9.5	12	5.0	10	5.3	9	4.8	6	2.9	4	2.0
14	19	5.7	11	4.5	10	5.3	11	5.9	4	1.9	6	3.0
13	18	5.4	10	4.1	16	8.4	6	3.2	9	4.3	3	1.5
12	23	7.0	15	6.3	15	7.9	14	7.6	6	2.9	15	7.5
11	13	3.5	21	8.7	10	5.3	12	6.5	15	7.3	14	7.0
10	5	1.5	9	3.7	11	5.7	9	4.8	9	4.3	20	10.1
9	4	1.2	22	9.1	13	6.8	13	7.0	18	8.6	19	9.6
8	1	0.3	25	10.3	22	11.6	11	5.9	8	3.8	19	9.6
7			32	13.2	11	5.7	6	3.2	18	8.6	19	9.6
6			15	6.3	12	6.3	8	4.3	15	7.3	12	6.0
5			17	7.0	4	2.1	2	1.1	11	5.3	9	4.5
4			14	5.8	4	2.1	5	2.7	18	8.6	19	9.6
3			8	3.3	3	1.6	3	1.6	5	2.4	6	3.0
2			6	2.5	4	2.1	3	1.6	9	4.3	2	1.0
1			3	1.2	2	1.1	4	2.2	9	4.3	4	2.0
0			1	0.4	3	1.6	3	1.6	7	3.4	8	4.0
- 1					2	1.1	2	1.1	4	1.9		
- 2							2	1.1	2	1.0	1	0.5
- 3			1	0.4			2	1.1	3	1.4	4	2.0
- 4					1	0.5			3	1.4		
- 5							1	0.5			2	1.0
- 6									2	1.0		
- 7											1	0.5
- 8									1	0.5		
- 9							1	0.5				
-10 or less					1	0.5						
No. of Pupils	331	100.0	242	100.0	190	100.0	186	100.0	208	100.0	199	100.0
Median	8.0		8.0		11.0		12.0		7.0		8.0	

*Assumed pre-test grade placement score of 1.0

SATURATED ELEMENTARY SCHOOLS--CHART 3

MEDIAN MONTHS OF GROWTH IN ARITHMETIC ACHIEVEMENT FOR
PUPILS IN SIX SATURATED ELEMENTARY SCHOOLS
BY PLACEMENT (GRADE) LEVEL



*Assumed pre-test grade placement score of 1.0

Source: 61 p. 191 **Sacramento: Table 3**

PROJECT ASPIRATION RECEIVING SCHOOLS

DISTRIBUTION OF PUPILS IN TWENTY-THREE PROJECT ASPIRATION RECEIVING SCHOOLS ACCORDING TO MONTHS OF READING ACHIEVEMENT GROWTH FROM OCTOBER 1970 TO MAY 1971
BY PLACEMENT (GRADE) LEVEL AND THE TOTAL GROUP

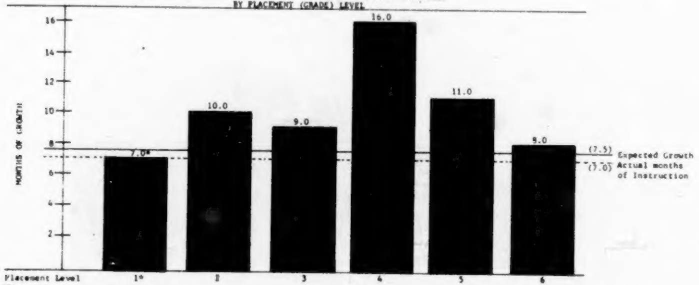
CALIFORNIA ACHIEVEMENT TEST--TOTAL READING

Months of Growth	Distribution of Pupils by Placement Level											
	Level 1*		Level 2		Level 3		Level 4		Level 5		Level 6	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
Over 33							7	6.4	4	2.9	2	1.4
33									1	0.7		
32							1	0.9	1	0.7	2	1.4
31							3	2.7			1	0.7
30							1	0.9	1	0.7		
29							1	0.9				
28							3	2.7	2	1.5	1	0.7
27							2	1.8	1	0.7	2	1.4
26							1	0.9	1	0.7	2	1.4
25			1	0.7			1	0.9	1	0.7	1	0.7
24	1	0.6	1	0.7	1	0.7	4	3.7	2	1.5	2	1.4
23			3	2.0			1	0.9	2	1.5	2	1.4
22	2	1.2	1	0.7	1	0.7	2	1.8	2	1.5	2	1.4
21					1	0.7	5	4.5	2	1.5		
20					1	0.7	4	3.7	4	2.9		
19	3	1.7	3	2.0	3	2.0	8	7.3	5	3.7	2	1.4
18	2	1.2	2	1.4	2	1.3	3	2.7	1	0.7		
17	2	1.2	2	1.4			7	6.4	6	4.4	2	1.4
16	3	1.7	6	4.1	4	2.6	10	9.1	7	5.2		
15	1	0.6	6	4.1	5	3.3	5	4.5	4	2.9	4	2.8
14	1	0.6	11	7.4	3	2.0	8	7.3	7	5.2	4	2.8
13	9	5.1	8	5.4	4	2.6	1	0.9	5	3.7	8	5.5
12	8	4.5	11	7.4	7	4.6	5	4.5	5	3.7	11	7.6
11	5	2.9	12	8.1	11	7.3	6	5.5	7	5.2	5	3.5
10	17	9.6	9	6.1	16	10.6	3	2.7	7	5.2	11	7.6
9	11	6.2	11	7.4	21	13.9	3	2.7	7	5.2	8	5.5
8	17	9.6	9	6.1	11	7.3			5	3.7	10	6.9
7	15	8.5	17	11.4	27	17.9	2	1.8	7	5.2	9	6.2
6	19	10.8	7	4.7	7	4.6	4	3.7	7	5.2	11	7.6
5	9	5.1	8	5.4	8	5.3	2	1.8	7	5.2	6	4.2
4	15	8.5	7	4.7	8	5.3	1	0.9	4	2.9	4	2.8
3	11	6.2	1	0.7	3	2.0	1	0.9	5	3.7	6	4.2
2	15	8.5	6	4.1	5	3.3			4	2.9	8	5.5
1	8	4.5	3	2.0					4	2.9	6	4.2
0	1	0.6	3	2.0	2	1.3	4	3.7	2	1.5	4	2.8
-1									1	0.7	1	0.7
-2	1	0.6							1	0.7	2	1.4
-3									1	0.7	1	0.7
-4							1	0.9	1	0.7	1	0.7
-5												
-6											1	0.7
-7											1	0.7
-8									1	0.7	1	0.7
-9									1	0.7		
-10 or less												
No. of Pupils	177	100.0	148	100.0	151	100.0	110	100.0	136	100.0	145	100.0
Median	7.0		10.0		9.0		16.0		11.0		8.0	

*Assumed pre-test grade placement score of 1.0

PROJECT ASPIRATION RECEIVING SCHOOLS--CHART 2

MEDIAN MONTHS OF GROWTH IN READING ACHIEVEMENT FOR PUPILS IN TWENTY-THREE PROJECT ASPIRATION RECEIVING SCHOOLS BY PLACEMENT (GRADE) LEVEL



*Assumed pre-test grade placement score of 1.0

Source: 61 p. 202 Sacramento: Table 4

PROJECT ASPIRATION RECEIVING SCHOOLS

DISTRIBUTION OF PUPILS IN TWENTY-THREE PROJECT ASPIRATION RECEIVING SCHOOLS ACCORDING TO MONTHS OF ARITHMETIC ACHIEVEMENT GROWTH FROM OCTOBER 1970 TO MAY 1971
BY PLACEMENT (GRADE) LEVEL

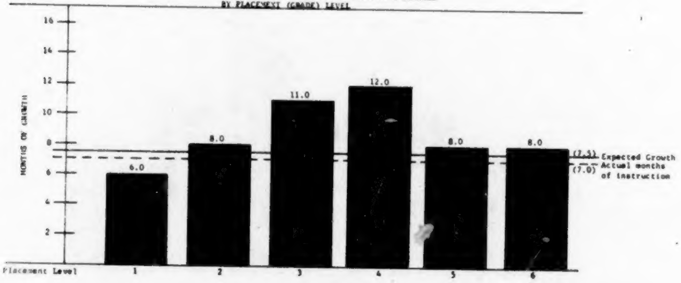
CALIFORNIA ACHIEVEMENT TEST--TOTAL ARITHMETIC

Months of Growth	Distribution of Pupils by Placement Level											
	Level 1*		Level 2		Level 3		Level 4		Level 5		Level 6	
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%
over 33												
33							6	5.2	2	1.5	1	0.7
32											1	0.7
31							1	0.9	1	0.7		
30							1	0.9	1	0.7		
29							3	2.6	1	0.7		
28									2	1.5		
27							2	1.7	1	0.7	2	1.5
26							1	0.9				
25							2	1.7			1	0.7
24	1	0.4			1	0.7	3	2.6			2	1.5
23							4	3.4			2	1.5
22							1	0.9	1	0.7	1	0.7
21	2	0.9			1	0.7	2	1.7	1	0.7		
20	2	0.9			4	2.6	3	2.6	1	0.7	1	0.7
19	1	0.4	2	1.4	4	2.6	2	1.7	1	0.7	1	0.7
18	4	1.7	1	0.7	1	0.7	2	1.7	2	1.5	2	1.5
17	5	2.1	2	1.4	7	4.6	1	0.9	2	1.5	2	1.5
16	4	1.7	4	2.7	8	5.3	3	2.6	3	2.3	4	3.0
15	4	1.7	7	4.8	9	5.9	6	5.2	4	3.0	1	0.7
14	6	2.6	4	2.7	12	7.9	4	3.4	5	3.7	2	1.5
13	8	3.4	9	6.2	7	4.6	3	2.6	5	3.7	3	2.2
12	1	0.4	7	4.8	13	8.5	7	5.9	6	4.5	9	6.7
11	7	3.0	9	6.2	14	9.2	5	4.3	6	4.5	3	2.2
10	13	5.6	16	10.9	6	3.9	11	9.4	3	2.3	9	6.7
9	14	6.0	7	4.8	14	9.2	9	7.7	11	8.2	6	4.5
8	20	8.5	15	10.3	15	9.9	5	4.3	7	5.2	11	8.1
7	25	10.7	9	6.2	13	8.5	6	5.2	6	4.5	5	3.7
6	23	9.8	16	10.9	11	7.2	3	2.6	9	6.7	10	7.4
5	16	6.8	11	7.5	5	3.3	6	5.2	12	9.0	8	6.0
4	17	7.3	7	4.8	2	1.3	3	2.6	4	3.0	10	7.4
3	26	11.1	7	4.8			2	1.7	6	4.5	7	5.2
2	14	6.0	6	4.1	3	2.0	2	1.7	3	2.3	9	6.7
1	14	6.0	4	2.7	1	0.7	1	0.9	5	3.7	6	4.5
0	3	1.3	3	2.1	1	0.7	1	0.9	6	4.5	3	2.2
-1	4	1.7					3	2.6	4	3.0	7	5.2
-2									3	2.3	3	2.2
-3							1	0.9	6	4.5	2	1.5
-4									3	2.3		
-5												
-6											1	0.7
-7												
-8												
-9									1	0.7		
-10 or less							1	0.9				
No. of Pupils	236	100.0	146	100.0	152	100.0	116	100.0	134	100.0	135	100.0
Median	6.0		8.0		11.0		12.0		8.0		8.0	

*Assumed pre-test grade placement score of 1.0

PROJECT ASPIRATION RECEIVING SCHOOLS--CHART 3

MEDIAN MONTHS OF GROWTH IN ARITHMETIC ACHIEVEMENT FOR PUPILS IN TWENTY-THREE PROJECT ASPIRATION RECEIVING SCHOOLS BY PLACEMENT (GRADE) LEVEL



*Assumed pre-test grade placement score of 1.0

APPENDIX K

City ' Evaluation: Indianapolis

17

[illegible] the Study	Achievement Results	Relationship Between Cost/Intensity & Achievement Gain	[illegible]
Indianapolis. Indiana - FY 70 Title I Evaluation A. **Programmed Math Project** 90% participants tested in 4th, 5th and 6th grades experimental program. The normal expected gain for the elapsed time between tests is 0.7. The experimental group consisted of 1378 Title 1 pupils in grades 4,5,6 who were at least one year below grade level.	A. Programmed Math Program Average Gains / Year Grade — Experimental Group — Control Group 4 — 1.9 — 1.5 5 — 0.8 — 0.6 6 — 0.7 — 0.4 The difference in gain scores are statistically significant at 5% level for all 3 grades.	A. Programmed Math Program Per Pupil Expenditure - $56.	
Remedial Reading Project 1. **Consultant Service** Sought to increase performance by improving the instructional competency of teachers. Also served a limited group of under achievers in reading laboratory where 45 pre-tested and 32 post-tested. 2. **Reading Specialist Program** Seven teachers served 700 initial enrollees in 20 buildings. 573 pupils completed the program of individualized instruction in small groups.	B. Remedial Reading Project 1. Consultant Service Sub-Project Average Gain Scores by Grade Grade — Average Gain 4 — .7) Gain are signifi- 5 — 1.0) cant at the 5% 6 — 1.6) level 2. Reading Specialist Program Average Gain Scores by Grade Grade — Average Gain 4 — .6) Gains not significant 5 — .6) 6 — .5)	B. Remedial Reading Project per pupil expenditure - $154.	B. The lack of more impressive results can probably be partially attributed to the erroneous use of a diagnostic test to measure achievement gains.

APPENDIX L

Cleveland, Ohio

A. Does Compensatory Education Work?

During FY-71 the Cleveland Public Schools evaluated two programs designed to improve the reading ability of disadvantaged children. Evaluation of pre-post Gates-MacGinitie test data for pupils in both programs indicated that substantial reading gains were demonstrated by many pupils served in these programs. Pupils deemed to be reading at an "acceptable level of performance" ranged from one-third to one-half of the total participants in the two programs evaluated during the fiscal year.

1. Diagnostic Reading Clinic Program (Title I)

The general purpose of this program was the diagnosis of reading disabilities which required instructional strategies beyond the resources of the usual classroom. Individual assessment and perscription teaching by specialists were provided to a total of 846 pupils in grades 4-7 (644 were assigned to the remedial portion) by a full-time staff of 30 augmented by the services of two part-time individuals (Table 1). Pupils were transported to and from their home schools to the clinic on a daily basis. Pupils received services for an average of 5 hours per week for the service team.

For purposes of evaluation a 12% representative sample of remedial participants was randomly selected (N=75). The criterion of reading achievement within one year of reading expectancy (grade level) was deemed an "appropriate level of performance" and better than 1/3 of the participants reached this goal. The average gain in grade equivalent units was 6.2 in an average service period of 3.2 months -- almost twice the gain expected of normal children for this time period. The remedial needs of pupils determined their placement in the following three remedial categories: (Table 2)

long-term -- (Most severely disabled -- 40% of service group) - average service period was 4½ months -- average gain of almost 8 grade equivalents (1.7 GE/month).

moderate-term -- (52% of service group) -- made average gain of almost 4 units in average service period of three months (1.2 GE/month).

short-term -- (9% of service group) -- narrowed the gap between performance levels and reading expectancy by an average of 7 months in a 2-month average service period (3.5 GE/month).

2. Reading Improvement Project - Title I

This program is designed to serve the primary grades in target schools with the greatest proportion of economic deprivation. The project utilizes the services of a reading consultant in each target school and serves a randomly selected group of pupils identified by classroom teachers and school principals as experiencing difficulty in mastering reading. The program provides master teachers and educational aides to furnish individual and small group instruction on a daily basis.

In FY 71 project services were provided to 1838 pupils in grades 1-3 in 20 public and three non-public schools eligible for Title I services.* Children recommended for this experimental program who were not randomly selected were placed on a waiting list for future assignment in the event experimental children moved from the attendance zone. For program evaluation purposes, a control group was selected from these program eligible but non-participating children. The evaluation sample containing both experimental and control children is shown in Table 4.

A comparison of post test scores for the experimental and control groups (Table 5) indicates that the experimental pupils performed significantly higher than control pupils on tests of vocabulary and comprehension. (Multivariate F-ratio =4.8330, statistically significant at the .0003 level of probability.) These data are shown graphically in Table 6.

Third grade experimental girls scored 1.0 grade equivalent unit higher than the control group in vocabulary and 9/10 G.E. unit higher in comprehension. The experimental boys also scored higher than the control groups.

Grade two experimental boys and girls both scored significantly higher than the control groups in vocabulary and slightly higher in comprehension.

First grade experimental girls scored higher in both vocabulary and comprehension while there was no difference between experimental and control group boys at this level.

Comparison of pre and post test scores for boys (Table 7) and girls (Table 8) in the experimental and control groups with normal expectation shows that the rate of gain for the experimental groups exceeds the normal rate for 2nd and 3rd grade vocabulary and 3rd grade comprehension. The improvement of the experimental groups always exceeds that of the control group and 3rd grade girls succeeded in achieving the vocabulary level expected of normal children. The 2nd grade comprehension scores for both boys and girls shows that although the experimental groups were performing slightly better than the control groups, the rate of gain (slope) was lower than the rate of gain of normal children.

---

*See Table 3.

For purposes of evaluating the reading improvement project effect, a criterion of reading performance within one half-year of reading expectancy (grade level) was established. A comparison of grade equivalent scores for comprehension with reading expectancies showed that 49 percent of second graders served by the program placed within a half-year or above their reading expectancies. Fifty percent of the third grade pupils achieved this level of performance. Similar evaluations of the Reading Improvement Project for the two preceding years were: FY 69, 2nd grade = 40%, 3rd grade = 37%; FY 70, 2nd grade = 49%, 3rd grade = 38%.

B. Is there a relationship between cost/intensity and probability of Success?

1. Diagnostic Clinic Costs:

Average program costs for the upper elementary grades was $322 per pupil. Calculation of the cost of each .1 equivalent units based on the overall average of 6.2 grade equivalent units of gain evidenced by the total sample results in a cost of $52 for each grade equivalent unit

Normal district PPE reading = $81

Normal expected gain/month = 1.0

Diagnostic Clinic PPE = $322

Average gain/month 1.2 - 3.5

2. Reading Improvement Project Costs:

Per pupil expenditures in this program were also $322. Based on test scores for comprehension and vocabulary it was determined that it cost approximately $1,075 per disadvantaged pupil to raise comprehension by one grade level and approximately $645 for vocabulary.

C. Limitations of the Data

1. Diagnostic Clinic Program

The nature of this program precluded the use of the traditional experimental-control design for evaluation. The methodology of determining the objective criterion of raising reading performance to within one year of grade level is satisfactorily documented. Some education evaluators feel that the short elapsed time period (average of 2 months) between pre and post testing results of the highest scoring group (short service term) may result in less reliable scores. Gains achieved by the moderate and long-term groups are probably the more realistic in scale.

2. Reading Improvement Project

Well planned evaluation using standard experimental -- control design and evaluation techniques.

Cleveland, Ohio -- Diagnostic Clinic Program

Cleveland: Table 1

Program Participants

Grade	Public	Non-Public	Total
4	262	31	293
5	291	40	331
6	181	23	204
7	14	4	18
TOTAL	748	98	846
%	(88.5)	(11.5)	(100.0)

From the total group receiving diagnostic services, 644 were assigned to the Clinic for the correctional reading program according to the following treatment categories:

- Long-term service, 255 pupils, 40 per cent of service group;
- Moderate-term service, 322 pupils, 52 per cent of service group;
- Short-term, 57 pupils, 9 per cent of service group.

Cleveland: Table 2

Average Gains Between Reading Performance Levels and Expectancies

Service Group	No. Pupils	Average Gains in G.E. Units*	Average Service Period	Average Monthly Gain
Long	30	7.7	4.5 months	1.7
Moderate	39	3.7	3.1 months	1.2
Short	6	7.3	2.1 months	3.5
Total Sample	75	6.2	3.2 months	1.9

*Based on Reading Comprehension Test Results

Source: Diagnostic Reading Clinic - Title I Evaluation 1970-71, pp.9,6 prepared by Cleveland Public Schools, Division of Research and Development. **Source: 40.**

Cleveland: Table 3

Cleveland, Ohio -- Reading Improvement Project

Distribution of Project Participants by Grade and Sex

	PUBLIC			NON PUBLIC		
Group	Boys	Girls	Total	Boys	Girls	Total
Grade 1	241	190	431	11	9	20
Grade 2	339	266	605	15	9	24
Grade 3	421	331	752	6		6
TOTAL	1,001	787	1,788*	32	18	50

*A total of 1,838 pupils participated in the project

Cleveland: Table 4

Sample Population by Grade and Sex

Grade	Group	Experimental	Control	Total
1	Boys	32	13	45
	Girls	24	9	33
2	Boys	58	21	79
	Girls	42	21	63
3	Boys	53	22	75
	Girls	44	15	59
	Total	253	101	354

Source: Reading Improvement Project - Title I Evaluation 1970-71, pp. 8, 17
Prepared by Cleveland Public Schools, Division of Research and Development. **Source: 41.**

Cleveland: Table 5

Cleveland, Ohio - Reading Improvement Project

Post Test Average Grade Equivalent Scores (Gates-MacGinitie) For Evaluation Sample Experimental and Control Groups By Grade and Sex

Grade 1, 2, 3

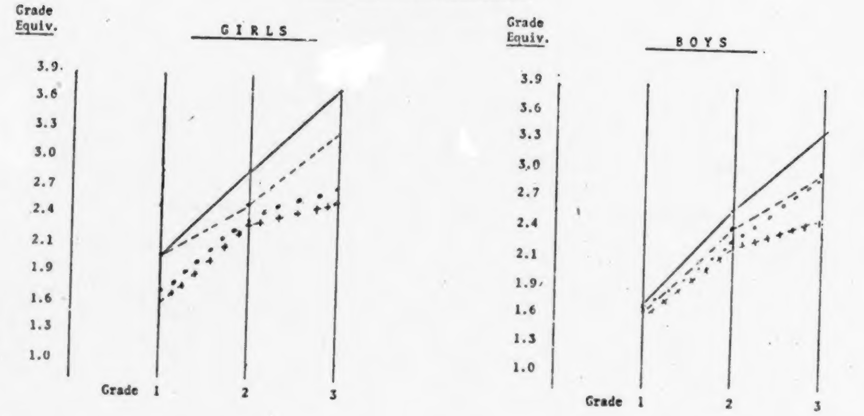
Grade			Mean*	Vocabulary Grade Equivalent	Mean*	Comprehension Grade Equivalent
I	Boys	E	45.09	1 [illegible]	45.75	1.6
		C	45.46	1.7	43.62	1.6
	Girls	E	49.33	2.0	50.62	2.0
		C	43.89	1.7	45.33	1.6
II	Boys	E	46.55	2.6	42.90	2.4
		C	42.71	2.3	41.52	2.3
	Girls	E	48.93	2.8	44.74	2.5
		C	42.86	2.3	41.86	2.3
III	Boys	E	46.26	3.4	44.17	3.0
		C	42.68	3.0	40.27	2.5
	Girls	E	49.07	3.7	45.52	3.3
		C	41.13	2.7	38.53	2.4

*Post Test Standard Score Means

Source: Reading Improvement Project - Title I Evaluation 1970-71, p.25
Prepared by Cleveland Public Schools, Division of Research and Development. **Source:** 41.

Cleveland, Ohio -- Reading Improvement Project
Table 6

Levels of Performance - Post Tests
Average Grade Equivalent Scores
Experimental vs. Control Pupils



Girls	Voc.	Comp.	Voc.	Comp.	Voc.	Comp.
Exp.	2.0	2.0	2.8	2.5	3.7	3.3
Con.	1.7	1.6	2.3	2.3	2.7	2.4

Boys	Voc.	Comp.	Voc.	Comp.	Voc.	Comp.
Exp.	1.7	1.6	2.6	2.4	3.4	3.0
Con.	1.7	1.6	2.3	2.3	3.0	2.5

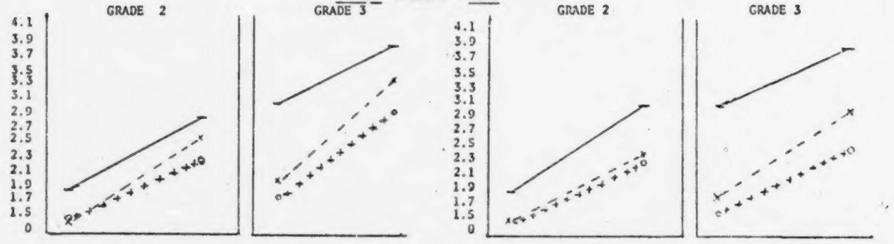
Exp. Voc. ______	Con. Voc. . . . .
Exp. Com. - - - -	Con. Com. + + + +

Source: Reading Improvement Project - Title I Evaluation 1970-71, p.26
Prepared by Cleveland Public Schools, Division of Research and Development. Source: 41.

Cleveland, Ohio - Reading Improvement Project

Table 7
READING IMPROVEMENT
Changes in Reading Performance - Average Grade
Equivalent Scores Obtained in Pre and Post Tests
Experimental V.S. Control Pupils

GRADES 2 and 3 - BOYS



	VOCABULARY					COMPREHENSION			
	GRADE 2		GRADE 3			GRADE 2		GRADE 3	
	PRE	POST	PRE	POST		PRE	POST	PRE	POST
E.	1.4	2.6	2.0	3.4	E.	1.5	2.4	1.8	3.0
C.	1.5	2.3	1.8	3.0	C	1.5	2.3	1.6	2.5

NORM ————
Experimental --
Control ++++++

Source: Reading Improvement Project - Title I Evaluation 1970-71, p.28
Prepared by Cleveland Public Schools, Division of Research and Development, Source: 41.

Cleveland, Ohio - Reading Improvement Project

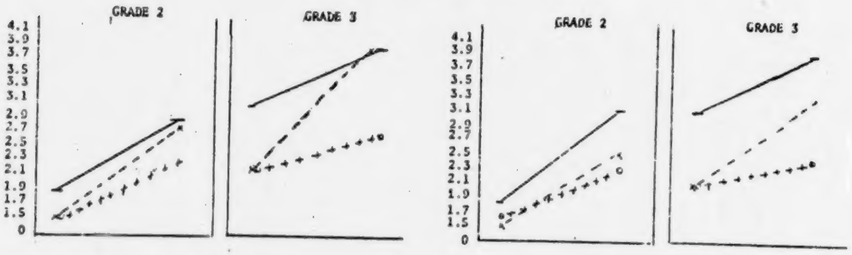
Table 8

READING IMPROVEMENT

Changes in Reading Performance - Average Grade Equivalent Scores Obtained in Pre and Post Tests

Experimental vs. Control Pupils

GRADES 2 and 3 - GIRLS



	VOCABULARY				COMPREHENSION			
	GRADE 2		GRADE 3		GRADE 2		GRADE 3	
	PRE	POST	PRE	POST	PRE	POST	PRE	POST
E.	1.5	2.8	2.2	3.7	1.5	2.5	1.9	3.3
C.	1.5	2.3	2.2	2.7	1.6	2.3	1.9	2.4

NORM ———
Experimental--
Control ++++++

Source: Reading Improvement Project - Title I Evaluation 1970-71, p.29
Prepared by Cleveland Public Schools, Division of Research and Evaluation. **Source 41.**

APPENDIX M

SUMMARY
Federal Evaluations of Compensatory Education

There have been four large-scale evaluations of federally funded compensatory education programs. The main finding of these studies was that compensatory education has not been successful in significantly improving the achievement level of disadvantaged children.

1966-67 School Year

The FY 67 report on Title I analyzed achievement scores for 155,000 students in 189 Title I projects. The results indicated:

> "that a child who participated in a Title I project had only a 19% chance of a significant achievement gain, a 13% chance of a significant loss, and a 68% chance of no change at all. This sample of observations is unrepresentative of Title I projects. It is, more likely, representative of projects in which there was a higher than average investment in resources. Therefore, more significant achievement gains should be found here than in the more representative sample of Title I projects. [1]

Analysis of Compensatory Education in 11 Cities: 1965-1967

GE-TEMPO studied compensatory education programs for 132 schools in 11 school districts in 1968.[2] The study utilized pre-treatment and post-treatment achievement scores for 35,000 pupils from school years 1965-66 and 1966-67. It was commissioned to answer two questions: whether compensatory education programs resulted in enhancement of pupil performance and what pupil, school, and program characteristics were associated with changes in pupil performance.

The sample was chosen in conjunction with HEW, and the districts were selected on the assumption that they might be the most likely to show progress. Both longitudinal and fixed grade analyses were done with the achievement test data for reading. The issue considered was whether the achievement gap between Title I classes and the national norm was closed: the fixed-grade analysis focused upon the movement of the mean and the first decile of that distribution. Achievement results were ambiguous: in the majority of grade unit cases (180 out of 314) there was either negative or no change in the first decile. The longitudinal analysis was available only for one district and indicated that concentrated reading programs showed impressive gains: the rate of improvement was 10% greater than the normal achievement rate of 1.0 grade equivalent units per year.

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[1] Piccariello, Report for Fiscal Year 1967, no date. Source: 68 p. 1

[2] TEMPO Evaluation of Title I ESEA Compensatory Education, General Electric Company, TEMPO Center for Advance Studies, Santa Barbara, California, 1968. Source: 65.

1967-1968 School Year

The FY 68 Survey of Compensatory Education was unrepresentative nationally and also tended to over-represent large urban districts.[1] No relation was found between extent of participation in compensatory education and achievement, and neither participants nor non-participants demonstrated any improvement in the rate of reading progress. The FY 68 survey also found that pupil family income and education and school socioeconomic composition were consistently related to pupil achievement, regardless of compensatory participation.

The analysis design assumed 133,500 achievement scores would be collected. Instead, the total used for analyses was 11,500 of which 40% were participants and 60% were non-participants. These scores were analyzed because they were among the few submitted, which were both pre and post from one of the standardized tests.

1968-1969 School Year

Achievement data were collected by the FY 1969 Survey of Compensatory Education and analyzed and reported by Glass (1970).[2] The standardized achievement data used in this analysis was not representative nationally but does contain a significant number of scores for Title I children. Out of 104,000 students in the national sample of both participants and non-participants in Title I, only 7,784 scores (or 7.5%) in grades 2, 4 and 6 were analyzed - 20% were participating children while 80% were non-participating children.

SUMMARY OF AVAILABILITY OF ACHIEVEMENT TEST DATA [3]

1969 Survey of Compensatory Education
National Sample of 104,000 Pupils in Grades 2, 4, 6

Grade	Matched Pre-Post Test Scores	Matched Scores of Completed Data	Matched Scores With Complete Data and Sufficient Number of scores
2	5,805	3,130	2,205
4	4,556	2,685	2,685
6	7,056	3,316	2,894
	17,419	9,131	7,784*

*Total set of test scores analyzed: only 1,500 (20%) were Title I participants.

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[1] Education of the Disadvantaged: An Evaluation Report on Title I of ESEA, Fiscal Year 1968 Source: 64.

[2] Glass, G. V., Data Analysis of the 1968-69 Survey of Compensatory Education (Title I), Final Report. Boulder, Colorado: University of Colorado Laboratory of Educational Research, August 1970. Source: 66.

[3] HEW/ASPE internal working paper, February 9, 1971.

The analysis of achievement data shows that a higher proportion of students selected for participation in reading programs were below grade level than were non-participants. This indicates that children with the greatest reading deficits were selected for remedial reading programs. In addition, when residual gain scores (scores calculated by subtracting post-test scores from predicted post-test scores) were analyzed, results of this subsample showed that nonparticipants made larger gains than participants.

The number of remedial reading programs serving children seemed to have little effect on participants' reading gains. The FY 69 survey, however, did collect opinions on student achievement taken from a nationally representative group of teachers. They rated participants and non-participants in terms of proficiency in certain subjects. In reading, 68% of the Title I participants were rated by their teachers as showing improvement compared to 58.5% for non-participants. In mathematics, the proportions were 58.2% and 56.2% respectively for participants and non-participants. This opinion data is interesting but by no means conclusive.

SUMMARY

Independent Assessment of The National Survey for 1968-69

Two scholars examined the 1968-69 Federal survey of compensatory education.[1/] A summary of their conclusions and excerpts from their report are included in order to provide further information on what has and has not been learned in these surveys.

In answer to the question, "What has been the impact of Title I and a wide variety of other compensatory education efforts on the children served?" the study found:

1. Inadequate evaluation strategies made it impossible to determine whether children in compensatory programs showed increases in average yearly achievement relative to appropriate control children. When, however, participants were compared to non-participants (including disadvantaged and non-disadvantaged pupils), they continued to show declines in average yearly achievement (relative to non-participants).

2. "Teacher estimates of academic achievement for participants showed significantly greater results than did test results. Teachers also found desirable social growth more often in participants than in non-participants. These survey findings are consistent with other studies which in general show teacher's subjective judgments re improvement more favorable than objective tests and also show positive estimates of change in the affective domain".

[1/] Edmund W. Gordon and James Kourtrelakos, "Utilizing Available Information from Compensatory Education and Surveys", Final Report, Office of Education, 1971.

APPENDIX N

ACHIEVEMENT RESULTS FROM THE NATIONAL EVALUATION OF FOLLOW THROUGH

Background

Since 1967, Follow Through has conducted research on a variety of approaches for educating disadvantaged children from kindergarten through third grade. During the past three years, Follow Through has attempted to implement and evaluate 20 different approaches to compensatory education in its research. Initial evaluation data suggest that a range of alternative "models" for educating disadvantaged children have been developed. Although conclusions concerning Follow Through must be considered tentative pending replication of first cohort findings, the Office of Education is beginning to possess information about a number of alternative compensatory education approaches. A meaningful basis for policy decisions will be provided by information concerning the first complete Follow Through cohort--the cohort which will graduate from third grade in June, 1973.

Preliminary data collected during 1969-70 on kindergarten and first grade children in the first complete Follow Through cohort revealed that:

--Follow Through children made greater achievement gains than comparison children. The differences were statistically significant at both grade levels, although they were extremely small in absolute magnitude.

--Effects of Follow Through on achievement were greatest for children whose families were definitely below the OEO poverty line. The differences between gains of Follow Through children from these families and gains of comparison children were again statistically significant at both kindergarten and first grade, although once more the absolute size of differences was quite small.

Preliminary results from the first national evaluation of Follow Through are now available. These data focus on the consequences of the program for participating children, their parents and teachers during the 1969-70 school year. Fourteen of the twenty Follow Through approaches were in their second or third years of operation during 1969-70 and were included in the evaluation. In order to describe some of the "inputs" provided by them, the evaluation asked, "What is the nature of children's, parents' and teachers' experiences in programs based on different approaches?" In order to describe the benefits or "outputs" of different approaches, the evaluation assessed changes in a variety of domains assumed to effect children's subsequent experiences and thereby ultimately influence their opportunities for self-confident, productive lives. Included were children's academic achievement, their attitudes toward school and learning and their interpersonal feelings; parents' participation in education programs and educational policy decisions and their feelings of efficacy in relation to their own lives, the school and the community; and teachers' educational practices and attitudes and their satisfaction with Follow Through children's progress.

Conclusions concerning these areas must be considered tentative pending results of current efforts in evaluating the Follow Through program. A major ongoing evaluation is both reexamining patterns of effects which were found in the first year of evaluation and is collecting and analyzing data with considerably more precision than heretofore. Evidence was collected during 1969-70 on a sample of 5800 children in their first year of public school--in kindergarten in some school districts and first grade in others. This evidence suggests that Follow Through is accomplishing some of its intended objectives.

The fourteen different approaches in the 1969-70 evaluation can be categorized into five groups on the basis of their primary emphasis in working with disadvantaged children and their families. A first sponsor group, the Structured Academic approaches, includes models that place heavy emphasis on teaching academic information in the classroom through programmed instructional techniques. The second group of sponsors, the Discovery approaches, have as their primary goal promoting the development of autonomous, self-confident learners rather than simply transmitting specific knowledge and skills. The third group of sponsors, the Cognitive Discovery approaches, attempt primarily to foster the growth of basic cognitive processes such as reasoning, classifying, and counting through guiding children's discoveries, through teaching specific skills to them, and through constantly engaging children in verbal activities. The fourth group of programs, the Self-Sponsored approaches, are similar to one another in unique characteristics of sponsorship rather than in the educational processes they employ. All the projects in this group are Self-Sponsored, meaning the local school district staff has played the role of architect and implementer of the Follow Through project. The fifth group includes sponsors which are also similar in unique characteristics of sponsorship, in this case each of them being Parent-Implemented and not having a secondary affiliation with a particular instructional model.

Although the children in the evaluation are scheduled to participate in Follow Through projects for 2-3 more years (through completion of third grades), the evaluation showed that after 1-2 years in the program:

- Follow Through children made somewhat greater gains in achievement during the school year than did non-Follow Through children. The differences, although small in absolute magnitude, were statistically significant in both the kindergarten and first grade samples.

- Effects of Follow Through on achievement were greatest for children whose families were definitely below the Office of Economic Opportunity poverty line. Both kindergarten and first grade Follow Through children from these families made gains in achievement larger than those of comparison children. Again, differences were small in absolute size but were statistically significant at both grade levels.

- Follow Through's effects on achievement were largest in magnitude and most consistent in Structured Academic approaches--those approaches emphasizing the teaching of academic information through sequentially structured activities and frequent extrinsic reinforcement. The differences between achievement gains of Follow Through children in these approaches and comparison children were statistically significant at both kindergarten and first grade, although the absolute size of differences was once again small. Statistically significant differences in achievement between Follow Through and non-Follow Through children were found at either kindergarten or first grade (but not both) in other approaches, with all of these findings favoring Follow Through children.

- Follow Through children manifested positive shifts in attitudes toward school and learning during the school year, shifts larger than those of comparison children in both kindergarten and first grade. The differences approached statistical significance at both grade levels, but were again small in absolute size.

- Follow Through participants whose families were definitely below the OEO poverty line made the largest positive shifts of any children in attitudes towards school and learning. Their gains were somewhat larger than those of comparison children at both grade levels, and the differences were statistically significant among first graders.

- Positive shifts in attitudes towards school and learning among Follow Through children were greatest and most consistent in Discovery and Cognitive-Discovery approaches, with children in these approaches making slightly larger gains than comparison children in both kindergarten and first grade. These approaches tend to view the child's development as a complex whole, in which the growth of a positive self-image, initiative, independence, expectations of success, and problem-solving skills are all important and interrelated aspects of development.

- In the Discovery and Cognitive-Discovery approaches, there was a statistically significant association between gains in achievement and positive shifts in attitudes towards school and learning. In other words, in these approaches children's growth in attitudes and in achievement went hand-in-hand. In the Structured Academic approaches, in contrast, growth in achievement and in attitudes were found to be independent of one another.

- Systematic observations of Follow Through classrooms indicated that approaches differed in actual practice in accordance with their published program descriptions. The kinds of activities engaged in by different classes, the role of children's own inquiry versus teacher-directed learning, and the nature of teachers' praise and feedback were a few of the dimensions for which objective observations suggested a correspondence between programs' orientations and children's day-to-day experiences. The systematic observations also showed that most adult-child communication in Follow Through classes focussed on the individual child or a small group of children with significantly more adult communication being addressed to large groups of children in non-Follow Through than in Follow Through classes.

- Parents of Follow Through children were better informed about their children's school programs, more likely to visit school, to work in classrooms and talk to teachers, and more convinced of their ability to effect school programs than parents of comparison children. Differences in each of these areas were statistically significant in both the kindergarten and first-grade samples, suggesting that Follow Through was successful in increasing parental awareness of and involvement in school activities.

- Follow Through's consequences for teachers were suggested in both attitudes and behaviors. Follow Through teachers were more likely to consider home-visits important and to make more home-visits, and to place high value on parents' direct participation in the classroom than non-Follow Through teachers. In addition, Follow Through teachers showed markedly greater satisfaction with the progress of their students than did non-Follow Through teachers.

In summary, the 1969-70 evaluation of Follow Through provided preliminary information for Federal and State decision makers, for school administrators, teachers and parents about the variety of educational experiences available to young children and the likely consequences of these experiences. It suggested that Follow Through is having some impact on children's academic achievement and their attitudes towards school and learning. It also suggested a match between programs' orientations, the classroom experiences they provide, and their patterns of effects on children.

The conclusions to be drawn from the first year evaluation are, however, unclear. The consistent pattern of positive and statistically significant effects suggest to some well-informed individuals that Follow Through is a success--and is definitely more of a success than other compensatory education programs. Equally well-informed individuals have pointed to the small absolute size of differences between Follow Through and non-Follow Through children and have proclaimed the program a failure--particularly in view of the Follow Through program cost of $800 per child. These individuals have emphasized the point that statistically significant-results which are readily achieved in comparisons involving large numbers of cases like those in the Follow Through evaluation) should not blind us to the fact that absolute differences between the Follow Through and control samples are very small. Thus, before we can conclude that the Follow Through program is in fact achieving educationally significant results, the final evaluation will have to demonstrate much larger differences than have appeared so far between the Follow Through and control groups.

It appears that a definitive interpretation of the first-year findings must await the results of ongoing evaluation efforts. The current Follow Through evaluation will describe effects of different approaches after children have participated in them continuously for several years. In addition, it will re-examine patterns of effects which were found in the first year of evaluation and will collect and analyze data with considerably more precision than heretofore. Therefore, the information collected in the current evaluation should help to interpret the significance of findings from the first-year evaluation.

APPENDIX O

SUMMARY

EVALUATION OF THE HEAD START PROGRAM[1]

This report presents the results of a study on the impact of Head Start carried out for the Office of Economic Opportunity from June 1968 through May 1969 by Westinghouse Learning Corporation and Ohio University.

The study attempted in a relatively short period of time to provide an answer to a limited question concerning Head Start's impact; namely: Taking the program as a whole as it has operated to date, to what degree has it had psychological and intellectual impact on children that has persisted into the primary grades?

The very real limitation of our study should be established at once. The study did not address the question of Head Start's medical or nutritional impact. It did not measure the effect of Head Start on the stability of family life. It did not assess the impact of Head Start on the total community, on the schools, or on the morale and attitudes of the children while they were in the program. The study is therefore a limited and partial evaluation, but one based on solid, useful, and responsible research.

We were not asked to answer all the questions that might have been asked. Those that we did ask (and answer), however, were the right questions to ask first. This is an ex post facto study; we therefore did not have the opportunity to observe the Head Start classrooms whose output we measured, nor could we attempt to ascertain various kinds of secondary social or mental health benefits.

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[1] Westinghouse Learning Corporation-Ohio State University, The Impact of Headstart, June 12,1969 291

The basic question posed by the study was:

> To what extent are the children now in the first, second, and third grades who attended Head Start programs different in their intellectual and social-personal development from comparable children who did not attend?

To answer this question, a sample of one hundred and four Head Start centers across the country was chosen. A sample of children from these centers who had gone on to the first, second, and third grades in local area schools and a matched sample of control children from the same grades and schools who had not attended Head Start were administered a series of tests covering various aspects of cognitive and affective development (listed below). The parents of both the former Head Start enrollees and the control children were interviewed and a broad range of attitudinal, social, and economic data was collected. Directors or other officials of all the centers were interviewed and information was collected on various characteristics of the current local Head Start programs. The primary grade teachers rated both groups of children on achievement motivation and supplied a description of the intellectual and emotional environment of their elementary schools.

Analyses of comparative performances on the assessment measures of all children in the study were conducted for each selected center area. Findings were combined, then, into the total national sample (called the overall analysis) and into three major subgroupings of centers formerly attended by the Head Start children; the latter being classified by geographic region, city size, and racial/ethnic composition. All the findings were also related to the type of program attended, i.e., summer or full-year program.

The major findings of the study are:

1. In the overall analysis for the Metropolitan Readiness Tests (MRT), a generalized measure of learning readiness containing subtests on word meaning, listening, matching, alphabet, numbers, and copying, the Head Start children who had attended full-year programs and who were beginning grade one were superior to the controls by a small but statistically significant margin on both "Total Readiness" and the "Listening" subscore. However, the Head Start children who had attended summer programs did not score significantly higher than the controls. (This particular cognitive measure was used in grade one because it does not require the ability to read.)
2. In the overall analysis for the Stanford Achievement Test (SAT), a general measure of children's academic achievement, containing sub-

tests on word reading, paragraph meaning, spelling, arithmetic, and so on, used to measure achievement at grades two and three, the Head Start children from both the summer and the full-year programs did not score significantly higher than the controls at the grade two level. While the children from the summer programs failed to score higher than the controls at grade three, an adequate evaluation of the effect of the full-year program at this grade level was limited by the small number of programs.

3. In the overall analysis for the Illinois Test of Psycholinguistic Abilities (ITPA), a measure of language development containing separate tests on auditory and vocal reception, auditory and visual memory, auditory-vocal association, visual-motor association, etc., the Head Start children did not score significantly higher than the controls at any of the three grade levels for the summer programs. In the case of the full-year programs, two isolated differences in favor of Head Start were found at grade two for two subtests of the ITPA, namely, "Visual Sequential Memory" and "Manual Expression."

4. In the overall analysis for the Children's Self-Concept Index (CSCI), a projective measure of the degree to which the child has a positive

self-concept, the Head Start children from both the summer and the full-year programs did not score significantly higher than the controls at any of the three grade levels.

5. In the overall analysis for the Classroom Behavior Inventory (CBI), a teacher rating assessment of the children's desire for achievement in school, the Head Start children from both the summer and the full-year programs did not score significantly higher than the controls at any of the three grade levels.

6. In the overall analysis for the Children's Attitudinal Range Indicator (CARI), a picture-story projective measure of the child's attitudes toward school, home, peers, and society, the Head Start children from the full-year programs did not score significantly higher than the controls at any of the three grade levels. One isolated positive difference for summer programs was found on the "Home" attitude subtest at grade one.

7. The above findings pertain to the total national sample. As mentioned previously, additional analyses were made for three subgroups of the national sample: geographic regions, city-size groups, and racial/ethnic composition categories. Analysis of the summer programs by subgroups revealed few differences where Head Start children scored higher than their controls. Analysis

of the full-year programs by the same subgroupings revealed a number of statistically significant differences in which, on some measures (mostly subtests of cognitive measures) and at one or another grade level, the Head Start children scored higher than their controls. There were consistent favorable patterns for certain subgroups: where centers were in the Southeastern geographic region, in core cities, or of mainly Negro composition. Even though the magnitudes of most of these differences were small, they were statistically significant and indicated that the program evidently had had some limited effect with children who had attended one or another of these types of full-year centers.

8. Apart from any comparison with control groups, the scores of Head Start children on cognitive measures fall consistently below the national norms of standardized tests. While the former Head Start enrollees approach the national level on school readiness (measured by the MRT at first grade), their relative standing is considerably less favorable for the tests of language development and scholastic achievement. On the SAT they trail about six-tenths of a year at second grade and close to a full year at grade three. They lag from seven to nine months and eight to eleven months respectively on the ITPA at first and second grades.

9. Parents of Head Start children expressed strong approval of the program and its effect on their children. They reported substantial participation in the activities of the centers. Parents of full-year enrollees tended to be slightly better educated but with a slightly lower income than parents of summer enrollees; summer programs enrolled a larger proportion of white children.

Viewed in broad perspective, the major conclusions of the study are:

1. Summer programs appear to be ineffective in producing any gains in cognitive and affective development that persist into the early elementary grades.
2. Full-year programs appear to be ineffective as measured by the tests of affective development used in the study, but are marginally effective in producing gains in cognitive development that could be detected in grades one, two, and three. Programs appeared to be of greater effectiveness for certain subgroups of centers, notably in mainly Negro centers, in scattered programs in the central cities, and in Southeastern centers.
3. Head Start children, whether from summer or from full-year programs, still appear to be considerably below national norms for the standardized tests of language development and scholastic achievement, while performance on school readiness at grade one approaches the national norm.

4. Parents of Head Start enrollees voiced strong approval of the program and its influence on their children. They reported substantial participation in the activities of the centers.

An analysis of covariance random replications model was used for the main analysis of the data obtained in this study. This statistical procedure was cross-checked by both a non-parametric analysis (with appropriate matchings) and an analysis of covariance with individuals rather than centers as the basic unit. Overall results with all procedures were similar.

In sum, the Head Start children can not be said to be appreciably different from their peers in the elementary grades who did not attend Head Start in most aspects of cognitive and affective development measured in this study, with the exception of the slight but nonetheless significant superiority of full-year Head Start children on certain measures of cognitive development.

A variety of interpretations of the data are possible. Our measures were taken after children had been out of Head Start from one to three years, in order to detect persisting effects. It is conceivable that the program does have a significant impact on the children but that the effect is matched by other experiences, that it is contravened by the generally impoverished environment to which the disadvantaged child returns after he leaves the Head Start program, or that it is an intellectual spurt that the first grade itself produces in the non-Head Start child. Or it is possible that the Head Start program has a significant impact on the children who attended, but that the presence of these improved children in the classroom has raised the level of the whole class to the point where there are no longer statistically reliable differences between the Head Start and non-Head Start children. A further possibility exists that Head Start has been of considerable impact where adequately implemented, but lack of more positive findings reflects poor implementation of the program. Or it is possible that Head Start has been effective only with certain types of pupils, and so on.

In any case, the study indicates that Head Start as it is presently constituted has not provided widespread significant cognitive and affective gains which are supported, reinforced, or maintained in conventional education programs in the primary grades. However, in view of the mixed results from the full-year findings, the impact on the parents, the obvious values of the medical and nutritional aspects of the program, and the critical need for remediating the effects of poverty on disadvantaged children, we make the following recommendations:

1. Summer programs should be phased out as early as feasible and converted into full-year or extended-year programs.
2. Full-year programs should be continued, but every effort should be made to make them more effective. Some specific suggestions are:
    a. Making them a part of an intervention strategy of longer duration, perhaps extending downward toward infancy and upward into the primary grades.

b. Varying teaching strategies with the characteristics of the children.

c. Concentrating on the remediation of specific deficiencies as suggested by the study, e.g., language deficiencies, deficiencies in spelling or arithmetic.

d. Training of parents to become more effective teachers of their children.

3. In view of the limited state of knowledge about what would constitute a more effective program, some of the full-year programs should be set up as experimental programs (strategically placed on a regional basis), to permit the implementation of new procedures and techniques and provide for an adequate assessment of results. Innovations which prove to be successful could then be instituted on a large scale within the structure of present full-year programs. Within the experimental context, such innovations as longer period of intervention or total family intervention might be tried.

4. Regardless of where and how it is articulated into the structure of the federal government, the agency attempting the dual research and teaching missions presently assigned Head Start should be granted the focal identity and organizational unity necessary to such complex and critical experimental programs. Their basis of funding should take cognizance of both the social significance of these

missions and the present state-of-the-art of programs attempting to carry them out.

In conclusion, although this study indicates that full-year Head Start appears to be a more effective compensatory educational program than summer Head Start, its benefits cannot be described as satisfactory. Therefore we strongly recommend that large-scale efforts and substantial resources continue to be devoted to the search for finding more effective programs, procedures, and techniques for remediating the effects of poverty on disadvantaged children.

118-119-120

APPENDIX P

DESCRIPTIONS OF SUCCESSFUL COMPENSATORY EDUCATION PROJECTS WITH EXPLANATORY NOTES AND DEFINITIONS[1]

Explanatory Notes and Definitions to Accompany Project Profiles

Context (definitions)

Urban - Community of 2,500 or more inhabitants not within commuting distance of a city of 50,000 or more inhabitants.

Rural - Community of fewer than 2,500 inhabitants.

Suburban - Community of fewer than 50,000 inhabitants within commuting distance of a city with 50,000 or more inhabitants.

Title I Support (definitions)

Yes - Title I support. May have been either total or partial.

No - Unsupported by Title I.

Note: Evaluation of Title I support applies only to the calendar period cited unter Target Group Characteristics.

Number Served (note)

Figure given represents total number of children served during cited time period. In some instances it includes children in grade levels other than those where success was demonstrated.

Dates (note)

Dates reflect period for which evidence of project success was available to the AIR investigators. The projects may have operated at other times as well.

Age or Grade Range (note)

Only those age or grade ranges where success was demonstrated are reported. Projects may have served additional ages or grades.

Measured Cognitive Objectives (note)

Reference is made here only to those cognitive objectives for which there was evidence of project success. Projects may have had other objectives.

1/Source #77

Time given is from pretest to posttest or from beginning of treatment to posttest. Actual treatment duration may have been greater.

Only the most salient components within each of the listed categories are presented. Space limitations precluded exhaustive enumeration of all project characteristics.

Pupil-Teacher Ratio (definition)

Teacher - Adults in instructional roles were defined as teachers whether or not they were certificated or considered "professional." Adults in noninstructional roles were not counted.

Tests Used (note)

Only those tests are listed which provided evidence of cognitive benefits. Other tests may have been used as well.

ACADEMIC PRESCHOOL
Champaign, Illinois

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 15-20 for each of two years

Dates: 1965-67

Age or Grade Range: 4-5 years old

Ethnic Group: majority Black

Other Pupil Characteristics: One or more years retarded in reading, language, or math; no prior preschool experience.

Project Characteristics

Measured Cognitive Objectives: Performance on tests of readiness in math and reading; stabilization or improvement in performance on tests of IQ.

Facilities: laboratory school classroom

Treatment Duration: Two hours daily for two years.

Components:

- Personnel: Administrators prepared materials and trained teachers; teachers were undergraduates and heavily supervised.
- Curriculum: programmed
- Strategy: teacher directive
- Environment: highly structured
- Materials: modified commercially available ones
- Pupil-Teacher Ratio: 5:1
- Training: "extensive" pre- and inservice
- Parent Involvement: none indicated

Tests Used: Stanford-Binet, Wide Range Achievement Tests - reading, math

Design and Results: Pre-post design. IQ and reading and math performance significantly better than control group.

AMELIORATIVE PRESCHOOL PROGRAM
Champaign, Illinois

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: eam 30 for each of two years

Dates: 1965-67

Age or Grade Range: 4 years old

Ethnic Group: 2/3 Black
1/3 white

Other Pupil Characteristics: IQ's from 70 to over 100 (1/3 70-89, 1/3 90-100, 1/3 over 100); no prior preschool experience

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Project Characteristics

Measured Cognitive Objectives: Performance on tests of readiness in math, reading, and language; performance on IQ tests.

Facilities: Preschool year in laboratory classroom; kindergarten year in regular classroom of public school.

Treatment Duration: 2 1/4 hours daily preschool; 1 hour daily kindergarten

Components:

Personnel: Teachers trained and experienced in early childhood teaching; no aides specified.

Curriculum: Content organized hierarchically; used game format; programmed reinforcement.

Strategy: teacher directive

Environment: highly structured; students grouped by ability

Materials: multisensory stimulators

Pupil-Teacher Ratio: 5:1

Training: regular teachers, once a week

Parent Involvement: none indicated

Tests Used: Stanford-Binet, California Achievement - reading, language, math

Design and Results: No pretest; posttest administered one year after two year treatment. IQ and reading, language, and math performance significantly better than control group.

DIAGNOSTICALLY BASED CURRICULUM
Bloomington, Indiana

Title I Support: No — Context: Urban

Target Group Characteristics

Number Served: 15 for each of three years — Dates: 1964-67

Age or Grade Range: 5 years old — Ethnic Group: white

Other Pupil Characteristics: IQ range from 50 to 85.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on IQ and language ability tests.

Facilities: experimental preschool

Treatment Duration: Four hours daily for one year.

Components:

Personnel: Teachers each year had special training, little experience; male aides used second and third years.

Curriculum: Based on thorough diagnosis of learning problems in language, concept, and fine motor development.

Strategy: teacher directive

Environment: Structured; used behavior modification techniques.

Materials: manipulative, games

Pupil-Teacher Ratio: 15:1 plus some aides

Training: regular teachers, once a week based on class

Parent Involvement: none indicated

Tests Used: Stanford-Binet, Columbia Mental Maturity, Illinois Test of Psycholinguistic Ability, Peabody Picture Vocabulary

Design and Results: Pre-post design. Gain or posttest scores significantly better than control group.

INFANT EDUCATION RESEARCH PROJECT
Washington, D. C.

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 28

Dates: September 1965 - June 1967

Age or Grade Range: 15 months old

Ethnic Group: Black

Other Pupil Characteristics: All males; relatively stable, uncrowded homes.

Project Characteristics

Measured Cognitive Objectives: Stabilization or improvement in performance on tests of IQ.

Facilities: children's homes

Treatment Duration: One hour daily, five days per week/21 months.

Components:

Personnel: Tutors had college degree, experience with inner-city children; no aides specified.

Curriculum: verbal stimulation

Strategy: Tutor directed play activities in the home with mother frequently present.

Environment: unstructured

Materials: toys, games, books

Pupil-Teacher Ratio: 1:1

Training: Tutors had two to three months initial training; 1/2 to 1 hour daily conference with supervisor.

Parent Involvement: Optional in tutorial sessions.

Tests Used: Bayley Infant, Stanford-Binet, Peabody Picture Vocabulary, Johns Hopkins Perceptual

Design and Results: Pre-post with follow-up. Gain or posttest scores significantly better than control group.

LEARNING TO LEARN PROGRAM
Jacksonville, Florida

Title I Support: No	Context: Urban

Target Group Characteristics

Number Served: 24	Dates: 1965-66
Age or Grade Range: 5 years old	Ethnic Group: Black
Other Pupil Characteristics: none given	

Project Characteristics

Measured Cognitive Objectives: Performance on tests of IQ.

Facilities: preschool classrooms

Treatment Duration: Approximately three hours daily for nine months.

Components:

Personnel: Experienced teacher assisted by one full-time aide.

Curriculum: Structured sequence of game-like activities.

Strategy: Child-directed free activity for 90 minutes, teacher-directed small-group sessions for 10 to 20 minutes.

Environment: Large-group free periods with game-like activities; small group sessions with more structure; story and discussion period.

Materials: toys, games, books

Pupil-Teacher Ratio: Large group 20:1; small group 2-4:1; story 24:2

Training: Personnel had daily training and planning sessions with videotape.

Parent Involvement: Monthly meetings and biannual teacher-parent conferences.

Tests Used: Stanford-Binet, Peabody Picture Vocabulary, Illinois Test of Psycholinguistic Ability

Design and Results: Posttest only; scores significantly better than control group.

MOTHER-CHILD HOME PROGRAM
Freeport, New York

Title I Support: No — Context: Suburban

Target Group Characteristics

Number Served: approx. 30 for each of two years — Dates: 1967-70

Age or Grade Range: 2-3 years old — Ethnic Group: 90 percent Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of IQ.

Facilities: children's homes

Treatment Duration: 1/2 hour twice a week for two years

Components:

- Personnel: "Toy Demonstrators" - trained social workers and paraprofessionals.
- Curriculum: Structured verbal interactions based on toys and books brought as gifts to child.
- Strategy: Verbal interaction sessions between mother and child during visits by Toy Demonstrators.
- Environment: moderately structured
- Materials: Toys and books designed to stimulate verbal interaction.
- Pupil-Teacher Ratio: 1:1
- Training: Toy Demonstrators had 8-session training workshop, weekly inservice conferences.
- Parent Involvement: Mothers trained to act as "interveners" for own children.

Tests Used: Peabody Picture Vocabulary, Stanford-Binet, Cattell Infant Intelligence

Design and Results: Pre-post with follow-up. Gain scores significantly better than control group.

PERRY PRESCHOOL PROJECT
Ypsilanti, Michigan

Title I Support: No

Context: Suburban

Target Group Characteristics

Number Served: 24 per year, 2-year cycle

Dates: 1962-66

Age or Grade Range: 3-4 years old

Ethnic Group: Black

Other Pupil Characteristics: Functionally retarded, IQ's 85 or below.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on IQ tests; performance on achievement tests in reading, language, and math.

Facilities: Regular classrooms in public schools; children's homes.

Treatment Duration: 16 1/2 hours weekly for two years prior to kindergarten

Components:

- Personnel: Certified teachers with average of 10 years specialized experience.
- Curriculum: highly structured thematic units
- Strategy: "verbal bombardment"
- Environment: Four activity centers in relatively freely structured classroom; 90-minute home visit once a week.
- Materials: Manipulative plus "real-world" objects; traditional materials used in unique ways.
- Pupil-Teacher Ratio: 6:1
- Training: daily planning meetings
- Parent Involvement: Weekly home sessions with child; monthly parent group meetings.

Tests Used: Stanford Binet, Peabody Picture Vocabulary, Leiter International Performance, California Achievement Test Battery

Design and Results: Pre-post with follow-up. IQ gain scores better than control group; achievement scores significantly better than control group.

PRESCHOOL PROGRAM
Fresno, California

Title I Support: Yes **Context:** Urban

Target Group Characteristics

Number Served: 1964-65, 45; growing to 750 over next four years **Dates:** 1964-68

Age or Grade Range: 3-5 years old **Ethnic Group:** mostly Mexican-American

Other Pupil Characteristics: Mostly Spanish-speaking; some residing outside Title I target area.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on test of language ability.

Facilities: 27 portable classrooms at 19 elementary school sites

Treatment Duration: Three hours per day/five days per week.

Components:

Personnel: 50 certificated half-time teachers

Curriculum: Emphasis on verbal communication and language development.

Strategy: Teacher-directed small group activities.

Environment: Moderately structured with use of teacher aides and parent volunteers.

Materials: typical preschool

Pupil-Teacher Ratio: 5:1

Training: Monthly staff meetings, study guides and inservice consultation from resource teachers.

Parent Involvement: Instructors in classroom, bimonthly parent meetings; use of parents on frequent field trips; parents' advisory committee met once a month.

Tests Used: Peabody Picture Vocabulary

Design and Results: Pre-post design. The average IQ of 428 pupils in FY 67 was raised from 84.3 to 96.5. This 12.2 IQ gain was statistically significant. In FY 68, the average gain for 352 pupils was 14.7 points from 86.4 to 101.1 — also statistically significant.

THE PRESCHOOL PROGRAM
Oakland, California

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: approximately 600 annually

Dates: 1966-70

Age or Grade Range: 3-4 years old

Ethnic Group: mostly Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of IQ.

Facilities: Regular classrooms in public schools.

Treatment Duration: 3 3/4 hours daily for 9 - 15 months

Components:

Personnel: One teacher and one teacher aide per class plus one parent volunteer; also school-community workers.

Curriculum: Individualized sequential series of learning units, emphasizing language skills.

Strategy: Teacher-directed small group activities.

Environment: Moderately structured with many enrichment activities and field trips.

Materials: typical preschool

Pupil-Teacher [illegible]: 15:3 or 4

Training: Pre- and inservice for teachers, aides, school-community workers; daily 30-minute inservice for aides.

Parent Involvement: Volunteers in classroom; monthly parent meetings.

Tests Used: Pictorial Test of Intelligence

Design and Results: Pre-post design. Post scores significantly better than control group.

PROJECT BREAKTHROUGH
Chicago, Illinois

Title I Support: No — **Context:** Urban

Target Group Characteristics

Number Served: 102 — **Dates:** 1966-67

Age or Grade Range: 3.5-5.5 years — **Ethnic Group:** mostly Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Stabilization of performance on IQ tests; performance on readiness tests.

Facilities: laboratory school classroom

Treatment Duration: 1 1/2 hours daily for 7-9 months

Components:

- **Personnel:** Responsive environment laboratory supervisors and booth attendents; social caseworkers.
- **Curriculum:** Edison Responsive Environment (ERE), student behavior evokes further stimuli.
- **Strategy:** Transfer of child's discoveries to more formal learning experiences; social work services.
- **Environment:** Highly structured ERE sessions and traditional nursery school experience.
- **Materials:** "Talking Typewriters"
- **Pupil-Teacher Ratio:** varied from 1:1 to 10:1
- **Training:** pre- and inservice instruction
- **Parent Involvement:** none indicated

Tests Used: Stanford-Binet, Peabody Picture Vocabulary, Metropolitan Readiness

Design and Results: Pre-post with follow-up. IQ Gain and performance significantly better than control group.

MALABAR READING PROGRAM FOR MEXICAN-AMERICAN CHILDREN
Los Angeles, California

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: Unknown, preschool through third grade in one school.

Dates: 1966-69

Age or Grade Range: pre-K - third grade

Ethnic Group: mostly Mexican-American

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading and language.

Facilities: Regular classrooms in public school.

Treatment Duration: Hours per week unknown; students treated for different lengths of time over five year period.

Components:

- Personnel: Ten percent were Mexican-American.
- Curriculum: Oral and written language emphasis.
- Strategy: Individualized, self-directed approach capitalizing on child's response to internal as well as external stimuli.
- Environment: Three "stations", moderate to low structure, from individual work with teacher to self-chosen activity.
- Materials: Ginn basal readers, staff-developed bilingual materials.
- Pupil-Teacher Ratio: 30:1, reduced by parent volunteers
- Training: unknown
- Parent Involvement: volunteers in classroom

Tests Used: Stanford Achievement - reading

Design and Results: Pre-post design. Gain scores significantly better than control group.

PS 115 ALPHA ONE READING PROGRAM
New York, New York

Title I Support: No
Context: Urban

Target Group Characteristics

Number Served: 27
Dates: 1969-70

Age or Grade Range: first grade
Ethnic Group: mostly Spanish-speaking; Greek

Other Pupil Characteristics: Many could not speak fluent English.

Project Characteristics

Measured Cognitive Objectives: Performance on a primary reading test.

Facilities: regular classroom

Treatment Duration: Two hours daily during school year.

Components:

- **Personnel**: one full-time teacher
- **Curriculum**: Game-like phonics approach to decoding words.
- **Strategy**: Programmed success, teacher-directed lessons.
- **Environment**: Moderately structured, no special classroom arrangements; children get regular school program the rest of the day.
- **Materials**: Special "Alpha One" self-contained instructional package.
- **Pupil-Teacher Ratio**: 27:1
- **Training**: None required; materials contain complete kit of lesson plans.
- **Parent Involvement**: none indicated

Tests Used: Gates Primary Reading

Design and Results: Posttest only; scores significantly better than control group.

PROJECT EARLY PUSH
Buffalo, New York

Title I Support: Yes Context: Urban

Target Group Characteristics

Number Served: 650 Dates: 1967-68

Age or Grade Range: 3 years, 9 months - 4 years, 9 months Ethnic Group: none given

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on readiness tests.

Facilities: Regular classrooms in public and parochial schools.

Treatment Duration: 1/2 day, 5 days per week/9 months

Components:

Personnel: Visiting teacher, home-school coordinator, teacher aides.

Curriculum: Use of a combination of practices found to be successful in other preschools; mostly child directed.

Strategy: Capitalize on learning potential in children's self-chosen activities.

Environment: Low structure, small group.

Materials: Furniture, housekeeping, art, music, and play materials.

Pupil-Teacher Ratio: 15:1

Training: Bimonthly inservice for teachers and aides.

Parent Involvement: Newsletter for parents; class visits urged; parent-teacher conferences and workshops; volunteer Parent-Council meets three times a year.

Tests Used: Peabody Picture Vocabulary

Design and Results: Pre-post design. Forty-eight boys and 48 girls were randomly selected for testing. Pretests were obtained on all but only 35 boys and 24 girls were posttested. These 59 pupils showed a mean mental age gain of 11 months during the 7 months between testings. This produced a mean IQ gain of 10 points from 76 to 86. In terms of national norm percentiles, mean pretest performance was at the 18th percentile, mean posttest performance was at the 28th percentile.

EARLY CHILDHOOD PROJECT
New York, New York

Title I Support: No   **Context:** Urban

Target Group Characteristics

Number Served: 160 entered each year and remained for five years.   **Dates:** 1962-67

Age or Grade Range: pre-K - third grade   **Ethnic Group:** mostly Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on IQ and readiness tests.

Facilities: Laboratory school and regular public school classrooms.

Treatment Duration: five hours per week

Components:

Personnel: One teacher and one college-graduate assistant teacher per class; community aides and social worker.

Curriculum: Development of language and concept skills; inclusion of math and science skills in primary grades.

Strategy: Self-paced, individualized and small-group instruction; much feedback; creative dramatics.

Environment: moderately structured

Materials: Often designed by staff; Deutsch program; many games and manipulatives.

Pupil-Teacher Ratio: unknown

Training: Three weeks pre-service plus inservice for teachers and assistant teachers.

Parent Involvement: Monthly meetings; parents trained to support program at home with games, books, questions.

Tests Used: Stanford-Binet

Design and Results: Pre-post design. IQ gain scores significantly better than control group.

AUGMENTED READING PROJECT
Pomona, California

Title I Support: Yes | **Context:** Urban

Target Group Characteristics

Number Served: 1,230

Dates: 1967-68

Age or Grade Range: first - third grade

Ethnic Group: mostly Mexican-American; Black, some white

Other Pupil Characteristics: Students selected on basis of teacher recommendations and diagnostic test scores.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: regular and other classrooms

Treatment Duration: Four months; number of hours varied according to need.

Components:

Personnel: Three counselors, two psychologists, four remedial reading specialists, one "helping teacher," and 36 teacher aides augmented regular teaching staff.

Curriculum: Remedial reading; supplemental to regular classroom instruction.

Strategy: Those with greatest need received individual or small group instruction outside regular classroom; those in regular classroom benefited from services of a shared helping teacher and a nonprofessional classroom aide who assisted with class management and a minimal amount of instruction; all instruction teacher directed; no one teaching method employed.

Environment: moderately structured

Materials: Special professional books and curriculum materials used; all commercially available.

Pupil-Teacher Ratio: 3-6:1 for those receiving special instruction

Training: Intensive pre- and inservice training provided for all staff through conferences, workshops, lectures.

Parent Involvement: Encouraged through psychologist and counselor liaison and parent meetings.

Tests Used: Wide Range Achievement - reading

Design and Results: Pre-post design. A random sample of 288 was drawn for evaluation purposes — 8 boys and 8 girls from each of the three grades in each of the six schools served in FY 1967. Both pre- and posttest data were obtained on 213. During the six months between testings, grade-equivalent gains ranging from 7 months (third grade girls) to 1 year (first grade boys). Average growth rate was 1.4 months per month. In FY 68, complete data were obtained on 265 pupils. An average growth rate of 1.2 months per month was found during the four-month period between testings. More recently, the program has been extended to encompass grades K through six and has ceased to be successful.

LANGUAGE STIMULATION PROGRAM
Auburn, Alabama

Title I Support: No Context: Urban

Target Group Characteristics

Number Served: 32 Dates: 1964-65

Age or Grade Range: first grade Ethnic Group: Black

Other Pupil Characteristics: Mean IQ of 75 as measured by ITPA; two levels below grade level in language.

Project Characteristics

Measured Cognitive Objectives: Improvement in IQ and language ability

Facilities: laboratory classroom

Treatment Duration: One hour per [illegible], four days per week/10 weeks.

Components:

Personnel: Director was Ph.D. candidate and faculty member at Auburn University; testing personnel were volunteers from Auburn Psychology Department; apparently no aides.

Curriculum: developmental language

Strategy: Students were pulled from their regular classrooms; instruction was in lieu of regular instruction in language; lessons highly structured and sequential; same teaching method used for all.

Environment: highly structured

Materials: Peabody Language Development Kit (lessons 1 through 40); story books.

Pupil-Teacher Ratio: 8:1

Training: Teachers trained in Peabody method.

Parent Involvement: none indicated

Tests Used: Stanford-Binet, Illinois Test of Psycholinguistic Abilities, California Reading Test, Durrell Analysis of Reading

Design and Results: Pre-post with follow-up. IQ and reading performance significantly better than control group.

PROGRAMED TUTORIAL READING PROJECT
Indianapolis, Indiana

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: 43

Dates: 1965-66

Age or Grade Range: first grade

Ethnic Group: 60 percent Black, 40 percent white

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on criterion-referenced reading tests.

Facilities: other classroom

Treatment Duration: 1/2 hour daily for one school year

Components:

Personnel: Research director; head supervisor had only three years college and experience as programmer; field supervisors of tutors served as liaisons with school staff; paraprofessionals served as tutors.

Curriculum: Remedial reading to supplement classroom instruction.

Strategy: Student removed from classroom for instruction; tutors' behavior tightly programmed by "lesson plans;" tutors heavily supervised; guided discovery learning; success programmed in.

Environment: highly structured

Materials: Ginn basal reader plus special sequence of lesson plans developed at Indiana University.

Pupil-Teacher Ratio: 1:1

Training: Tutors received 12 hours pre-service training which required 12 additional hours of related home study; 6 hours inservice training also provided; continuous supervision.

Parent Involvement: none indicated

Tests Used: Metropolitan Readiness, Ginn

Design and Results: Pre-post design with control group. Ginn posttest scores were significantly higher for the treatment group than for the controls. Similar results were found in a more recent (1968-69), larger-scale evaluation involving a nationwide sample of 17 school districts. In almost all instances (15 of 17), posttest comparisons favored the treatment children. This was true even in five schools which apparently assigned the more able children to the control group.

SPEECH AND LANGUAGE DEVELOPMENT PROGRAM
Milwaukee, Wisconsin

Title I Support: Yes **Context:** Urban

Target Group Characteristics

Number Served: 136 **Dates:** 1966-67

Age or Grade Range: first - second grade **Ethnic Group:** none given

Other Pupil Characteristics: Mean IQ of 84; low oral language facility as judged by teachers and therapists on basis of oral articulation test.

Project Characteristics

Measured Cognitive Objectives: Performance on tests of verbal language skill.

Facilities: other classrooms

Treatment Duration: Up to three hours per week for 15 weeks.

Components:

Personnel: Supervisor was a speech therapist and licensed in special education with 20 years experience; therapists were state licensed with an average of 7 years experience.

Curriculum: Rich in auditory and verbal stimuli consisting of a sequence of structural units developed by project staff and designed to improve talking and listening skills.

Strategy: Provided small group instruction outside normal classrooms; teacher directive.

Environment: Moderate to highly structured; therapists were flexible in responding to students' needs.

Materials: Some locally developed; others commercially available.

Pupil-Teacher Ratio: 7:1

Training: No pre- or inservice training specified.

Parent Involvement: Parents informed through newsletters and conferences.

Tests Used: Ammons Quick Test of Verbal-Perceptual Intelligence

Design and Results: Posttest with matched control group. Small but statistically significant differences in posttest scores favored the treatment group over the controls. No significant differences, however, were found in four more recent evaluations conducted between 1967 and 1969.

MORE EFFECTIVE SCHOOLS
New York, New York

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: approximately 16,600 per year

Dates: 1965-67

Age or Grade Range: pre-K - sixth grade

Ethnic Group: majority Black or Puerto Rican

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading.

Facilities: regular classrooms

Treatment Duration: 1/2 day daily, Pre-K, full day daily, grades K - sixth/ one year.

Components:

Personnel: Staffs of each participating school included social workers, psychiatrists, speech improvement teachers, psychologists, community relations coordinators, and paraprofessional aides in addition to teaching and administrative personnel.

Curriculum: None special; emphasis on language skills and reading.

Strategy: Reorganized and expanded the teaching, administrative, and supportive staffs to better serve students in all areas of need; students were heterogeneously grouped in classes, offered more individual and small group instruction; provided remedial, tutorial, and enrichment instruction during regular school and after school hours; encouraged teachers to employ innovative techniques.

Environment: varied

Materials: Normal quota supplied schools was supplemented; wide variety of audiovisual equipment was purchased.

Pupil-Teacher Ratio: 15-22:1

Training: Preservice orientation for teachers and administrators; local colleges sponsored a variety of inservice activities and awarded scholarships for course study.

Parent Involvement: Community relations coordinators planned meetings, activities, and courses which many parents attended.

Tests Used: Metropolitan Achievement - reading

Design and Results: Pre-post design with control groups. Gain scores in some grades were better than control groups and national norms. Many more recent evaluations have been made of the program and have reached similar conclusions. In general, gains made in the program exceed gains made by matched control groups but fall short of the month-for-month rate expected of average children in regular school programs.

PROJECT CONCERN
Hartford, Connecticut

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: 260

Dates: 1967-68

Age or Grade Range: K - sixth grade

Ethnic Group: 4/5 Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of IQ, readiness, and achievement in basic skills.

Facilities: Other classrooms in suburban schools.

Treatment Duration: full day daily for one year

Components:

- **Personnel:** Director of inservice training for aides, coordinator of aides, volunteer mother aides.
- **Curriculum:** Same as that normally taught in the receiving school.
- **Strategy:** Bused children to a suburban receiving school for full day's instruction and provided them with support from a team of one teacher and one aide who accompanied them to the school and provided services which varied from school to school.
- **Environment:** varied
- **Materials:** none mentioned
- **Pupil-Teacher Ratio:** 25:1
- **Training:** Monthly inservice workshop to train aides.
- **Parent Involvement:** volunteer mother aides

Tests Used: Wechsler Intelligence, Primary Mental Abilities, Metropolitan Readiness, Iowa Test of Basic Skills, Sequential Test of Educational Progress

Design and Results: Pre-post design with a control group. IQ gains and verbal achievement gains were significantly better for program participants than for comparable control children in grades K-3. The program was not successful in grades 4 and 5. Growth rates in both original and subsequent evaluations were less than month-for-month.

SCHOOL AND HOME PROGRAM
Flint, Michigan

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 1,100

Dates: 1961-62

Age or Grade Range: K - sixth grade

Ethnic Group: Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: children's homes

Treatment Duration: Evenings, daily for five months.

Components:

Personnel: Some mothers were aides and served as home visitors, counselors, and attendance officers.

Curriculum: Direct involvement of parents in the at-home learning experiences of their children.

Strategy: Regular school teachers assigned special reading materials and exercises to students to be done at home and provided study guides for parents so that they could assist the students in developing good study habits and improve reading skills.

Environment: varied

Materials: Commercially available materials used in different ways; some locally developed ones.

Pupil-Teacher Ratio: not applicable

Training: Teachers met monthly to discuss progress, problems, and materials use.

Parent Involvement: Both in planning and implementing program.

Tests Used: Gates Revised Reading

Design and Results: Pre-post design. Performance significantly better than control group and disadvantaged norm.

AFTER SCHOOL STUDY CENTERS
New York, New York

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: 30,000

Dates: 1966-67

Age or Grade Range: second - sixth grade

Ethnic Group: mostly Black or Puerto Rican

Other Pupil Characteristics: One year or more retarded in reading or math; not receiving remedial help in school.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: other classrooms

Treatment Duration: Up to 10 hours a week for 7 months of regular school year.

Components:

Personnel: No special personnel employed; no aides.

Curriculum: remedial reading

Strategy: Teachers tutored students individually and in small groups and assisted them with homework; no single teaching technique was characteristic of the program; offered two hours each afternoon; attendance voluntary.

Environment: moderately structured

Materials: primarily SRA Reading Labs

Pupil-Teacher Ratio: varied

Training: none mentioned

Parent Involvement: none indicated

Tests Used: Metropolitan Reading Test

Design and Results: Pre-post design (with a control group in FY 65). Performance of ASSC pupils was significantly better than the control group in FY 65 and growth was at the national norm month-for-month rate. In FY 67 growth was .7 months per month -- somewhat above the disadvantaged norm. There was no control group in FY 67.

INTENSIVE READING INSTRUCTIONAL TEAMS
Hartford, Connecticut

Title I Support: Yes   Context: Urban

Target Group Characteristics

Number Served: 500   Dates: 1967-68

Age or Grade Range: third - sixth grade   Ethnic Group: none given

Other Pupil Characteristics: Reading below grade level with potential for growth; able to work within a group.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: other classrooms

Treatment Duration: Three hours daily for 10 weeks of regular school year.

Components:

Personnel: One reading specialist, two reading teachers per team; no aides.

Curriculum: remedial reading

Strategy: Teacher directive; teams provided one hour each of instruction in phonics/word attack, basal reading vocabulary and comprehension, individualised literature and library orientation each morning.

Environment: moderately to highly structured

Materials: Some locally developed packets; some commercially available.

Pupil-Teacher Ratio: 15:1

Training: each afternoon for teachers

Parent Involvement: Forty percent visited centers at least once for conferences.

Tests Used: California Reading Achievement

Design and Results: Pre-post design. Grade-equivalent gains over the 10-week treatment period ranged from 7 months to 1.5 years, greatly exceeding the national norm. In more recent years the project has been modified to serve first-grade children. Evaluation evidence shows continued success but grade-equivalent scores are not available.

PROJECT CONQUEST
East St. Louis, Illinois

Title I Support: Yes **Context:** Suburban

Target Group Characteristics

Number Served: 1,089 **Dates:** 1969-70

Age or Grade Range: first - sixth grade **Ethnic Group:** mostly Black

Other Pupil Characteristics: Capable students whose reading problems could not be helped by regular classroom teachers; one year or more below grade level in reading; potential to read at grade level.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: Three clinics and other classrooms.

Treatment Duration: Grades one - three, 3/4 hour a day, 4 days per week/7 1/2 mos.
Grades four - six, 3/4 hour a day, 2 days per week/7 1/2 mos.

Components:

Personnel: One reading specialist; four reading teachers and one aide per clinic; nine specially trained reading teachers shared by "other classrooms;" three school community aides; four supervisors.

Curriculum: remedial reading

Strategy: Diagnosis in clinics and remediation either in "other classrooms" (grades one - three) or clinics (grades four - six); supplemental to regular school reading program; guaranteed success built in; remediation individualized; teacher directive.

Environment: moderately to highly structured

Materials: varied; all commercially available

Pupil-Teacher Ratio: 6:1

Training: Pre-service training two weeks to one year; inservice training one day per week.

Parent Involvement: Classrooms observers; regularly scheduled conferences; home visits.

Tests Used: Gates Primary Reading, Gates Advanced Primary Reading, Gates Survey, Gates-MacGinitie

Design and Results: Pre-post design. In FY 69 project participants made grade-equivalent gains of 9.4 months in a 7.5 month period -- a growth rate 25% greater than the national norm. In FY 70 the mean gain was 1.04 years, exceeding the normal expectation by 39%.

PROJECT MARS
Leominster, Massachusetts

Title I Support: Yes **Context:** Suburban

Target Group Characteristics

Number Served: 212 **Dates:** 1969-70

Age or Grade Range: first - fourth grade **Ethnic Group:** Irish, French, Italian, Puerto Rican

Other Pupil Characteristics: Performance in reading was below potential ability as determined by diagnostic instruments.

Project Characteristics

Measured Cognitive Objectives: Reduction of discrepancy between ability and performance in reading.

Facilities: other classroom

Treatment Duration: 45 minutes daily for seven months

Components:

Personnel: One reading specialist, seven teachers specially trained in reading, no aides.

Curriculum: remedial reading

Strategy: Teacher directive, individual diagnoses, group remediation; supplemental to regular classroom instruction; students released from classrooms; no one teaching technique was characteristic of the program but all differed from tradition.

Environment: moderately structured

Materials: Commercially available but other than those used in regular classrooms.

Pupil-Teacher Ratio: 6:1 or better

Training: Inservice once a month and participation in summer reading institute.

Parent Involvement: Teacher conferences and 27 member parent advisory council.

Tests Used: Metropolitan Achievement

Design and Results: Pre-post design. In both FY 69 and FY 70 gain scores on both the Reading and Word Knowledge subtests at all grade levels were statistically significant and exceeded the disadvantaged norm. With only a few exceptions (Reading in grades 3 and 4, FY 69, and Word Knowledge in grade 4, FY 70), gains exceeded month-for-month.

SELF-DIRECTIVE DRAMATIZATION PROJECT
Joliet, Illinois

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 107

Dates: 1964-65

Age or Grade Range: first - fourth grade

Ethnic Group: mostly Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: regular classroom

Treatment Duration: Three to five times a week for seven months; two sessions each 3 1/2 months with an intermission.

Components:

- **Personnel:** No special staff; no aides.
- **Curriculum:** dramatic readings
- **Strategy:** Student directive; students dramatized stories they read portraying self-chosen characters. Students worked in small groups (six). Remainder of day normal.
- **Environment:** relatively unstructured
- **Materials:** 200 commercially available high interest level storybooks.
- **Pupil-Teacher Ratio:** 25 or 30:1
- **Training:** Some inservice, amount not given.
- **Parent Involvement:** none indicated

Tests Used: Gray-Votaw-Rogers Achievement - reading

Design and Results: Pre-post design. Performance significantly better than control group and national norm.

AFTERNOON REMEDIAL AND ENRICHMENT PROGRAM
Buffalo, New York

Title I Support: Yes	**Context:** Urban

Target Group Characteristics

Number Served: 4,365	**Dates:** 1966-67
Age or Grade Range: third - eighth grade	**Ethnic Group:** mostly Black; some white, Puerto Rican.

Other Pupil Characteristics: Most tested one or more years below grade level on achievement tests.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in math and reading.

Facilities: other classrooms

Treatment Duration: 1 1/2 hours per day, 3 days per week/5 months

Components:

Personnel: No special staff; regular teachers working after regular hours.

Curriculum: remedial reading and math

Strategy: Teacher directive; no one teaching method was characteristic of the program; taught individually or in small groups.

Environment: moderately structured

Materials: Those used during regular school day and some additional reading materials.

Pupil-Teacher Ratio: 6:1

Training: none indicated

Parent Involvement: Planning and revising of program.

Tests Used: California Reading, California Achievement

Design and Results: Pre-post design. During FY 67, average grade-equivalent gains in both reading and arithmetic at each grade level were equal to or greater than month-for-month. Pooled across grade levels the 802 children for whom data were available averaged a 1.09 month-per-month rate of gain in reading while the rate was 1.30 month per month for 944 children in arithmetic.

FERNALD SCHOOL REMEDIATION OF LEARNING DISORDERS PROGRAM
Los Angeles, California

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 220

Dates: 1966-67

Age or Grade Range: second - eighth grade

Ethnic Group: 2/3 Black, 1/3 Mexican American or white

Other Pupil Characteristics: All male, at least 1.5 years behind national norm in school achievement; of average intelligence; non-paying in a school generally serving tuition only students.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading, language, and math.

Facilities: laboratory school

Treatment Duration: 6 hours daily, for 9 months

Components:

Personnel: Teachers and supervisors certified and specially trained in diagnosing and treating learning disorders; aides were graduate and undergraduate university students.

Curriculum: comprehensive remedial in all areas

Strategy: Students bused to lab school for total program; student directive, highly individualized; remediation and evalution followed diagnosis.

Environment: highly structured

Materials: Commercially available; comprehensive stock.

Pupil-Teacher Ratio: 5:1

Training: Extensive pre- and inservice training with some use of videotapes.

Parent Involvement: Part of remediation when necessary.

Tests Used: Wechsler Intelligence Scale, California Achievement - reading, math, language

Design and Results: Pre-post design. Performance significantly better than control group and national norm.

PLUS PROGRAM
Buffalo, New York

Title I Support: Yes   **Context:** Urban

Target Group Characteristics

Number Served: 7,436   **Dates:** 1967-68

Age or Grade Range: first - eighth grade   **Ethnic Group:** mostly Black; 1/4 white or Puerto Rican

Other Pupil Characteristics: Most were one to two years below grade level in school achievement.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading and math.

Facilities: other classroom

Treatment Duration: One to 1 1/2 hours daily (30 to 45 minutes in each subject) for 7.5 months in reading and 8 months in math.

Components:

Personnel: Teachers had regular or temporary certification (not special credientials), but did not hold regular teaching positions in schools.

Curriculum: corrective reading, remedial math

Strategy: Teachers provided small group and individual instruction during regular school day, but as supplement to regular classroom instruction; assisted regular classroom teachers in diagnosing problems for referral. No single teaching method employed.

Environment: moderately structured

Materials: Commercially available texts and games, specially ordered.

Pupil-Teacher Ratio: 5-6:1

Training: One week pre-service training with reading specialists plus attendance at service institutes in summer.

Parent Involvement: none indicated

Tests Used: California Achievement - reading, math

Design and Results: Pre-post design. In FY 67, a representative sample of program participants made a mean reading achievement gain of 8.9 months during the 7.5 months between testings and an arithmetic achievement gain of 7.3 months. In FY 68 the mean grade-equivalent gains were 8.52 months in reading (over a 7.5-month period) and 9.12 months in arithmetic (over an 8-month period). The FY 68 gains in both reading and arithmetic exceeded national norms by approximately 14%.

DIAGNOSTIC READING CLINICS
Cleveland, Ohio

Title I Support: No Context: Urban

Target Group Characteristics

Number Served: 532 Dates: 1969-70

Age or Grade Range: fourth - seventh grade Ethnic Group: none given

Other Pupil Characteristics: More than one year below expected reading level; none with "low" IQ's.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: clinics and regular classrooms

Treatment Duration: One hour daily for various periods of time ranging from 2.5 to 5.1 months.

Components:

Personnel: Certified reading specialists, speech therapists, psychologists, social workers, and aides from community.

Curriculum: remedial reading

Strategy: Clinic provides both diagnostic and remediation services and follow-up supportive services to regular classrooms; student directive; individualized.

Environment: highly structured

Materials: Commercially available but specially applicable to needs of program.

Pupil-Teacher Ratio: 1:1

Training: Monthly inservice training held for regular classroom teachers.

Parent Involvement: Attended monthly meetings; formally evaluated program; supported students.

Tests Used: Gates-MacGinitie Reading

Design and Results: Pre-post design. Performance significantly better than national norm.

ELEMENTARY READING CENTERS
Milwaukee, Wisconsin

Title I Support: Yes **Context:** Urban

Target Group Characteristics

Number Served: over 1,000 **Dates:** 1966-67

Age or Grade Range: fourth - eighth grade **Ethnic Group:** both Black and white

Other Pupil Characteristics: Average or above average IQ; one year or more retarded in reading.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: other and regular classrooms

Treatment Duration: [illegible] minutes daily for approximately 7 months (until reading at grade level).

Components:

Personnel: Supervisors and head teachers were credentialed and licensed both as reading specialists and specialized teachers; 2/3 of center teachers were also credentialed and licensed as reading specialists with average of 1[illegible] years experience.

Curriculum: remedial reading

Strategy: Individual diagnosis and group remediation provided at centers until students were reading at grade level; center staff also assisted regular classroom teachers in identifying problem cases and in supporting students upon their return to regular classrooms; no one teaching method employed.

Environment: moderately to highly structured

Materials: plentiful and commercially available

Pupil-Teacher Ratio: 5-8:1

Training: none indicated

Parent Involvement: none indicated

Tests Used: California Reading, Wide Range Achievement

Design and Results: Pre-post design. During the first semester of the 1966-67 school year, reading test data were obtained on more than 300 participants none of whom was in the treatment for more than 5 calendar months. The mean Silent Reading gain was 6.4 months while the oral reading gain was 6.9 months. A second posttest was conducted near the end of the second semester. The mean length of program participation for the approximately 500 pupils tested was 7.4 months. Gains were 7.6 months for Silent Reading and 8.9 months for Oral Reading. Evaluations conducted since FY 67 have failed to produce any evidence of impact whatsoever.

THE LAFAYETTE BILINGUAL CENTER
Chicago, Illinois

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: 65

Dates: 1969-70

Age or Grade Range: sixth - eighth grade

Ethnic Group: mostly Puerto Rican

Other Pupil Characteristics: Spoke Spanish at home; recent arrivals to U. S.; normal IQ's.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of IQ, ability, and achievement in reading, language, and math.

Facilities: laboratory school - "school-within-a-school"

Treatment Duration: Six hours daily for eight months each year up to three years.

Components:

Personnel: Classroom teachers and supervisors were bilingual and most were credentialed to teach English as a Second Language (ESL). Bilingual aides assisted teachers but not with instruction. Resource teacher and school-community representative worked closely with parents.

Curriculum: Developmental reading and language; minimum of two hours daily.

Strategy: A full school program was offered, initially taught in Spanish with eventual transition to English; nongraded; individual diagnosis preceded remediation; individualized or small group instruction; 15 volunteer Anglo students participated in program serving as models and tutors.

Environment: Academic sessions highly structured; other sessions low to moderately structured.

Materials: Most were specially developed by staff.

Pupil-Teacher Ratio: 16:1

Training: Pre-service training for aides; inservice training for everyone one hour, twice a month.

Parent Involvement: Home visitations; attended adult classes in English; served on advisory council; informally evaluated program.

Tests Used: Short Test of Educational Ability, Test of General Ability, Metropolitan Achievement - reading, math, language

Design and Results: Pre-post design. Program participants showed a statistically significant median IQ gain of 8 points. They made achievement gains greater than month-for-month in English reading, spelling, language, and arithmetic problem solving and in Spanish reading and arithmetic problem solving.

COMMUNICATION SKILLS CENTER PROJECT
Detroit, Michigan

Title I Support: Yes **Context:** Urban

Target Group Characteristics

Number Served: 2,845 **Dates:** 1966-67

Age or Grade Range: second - eleventh grade **Ethnic Group:** mostly Black

Other Pupil Characteristics: none given

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading achievement tests.

Facilities: clinics and other classrooms

Treatment Duration: Approximately two hours per week for one or two semesters; summer session - one hour daily.

Components:

Personnel: Reading diagnosticians, psychologists, social therapists, and lay aides as well as remedial reading teachers.

Curriculum: remedial reading

Strategy: Individual diagnoses conducted at clinics; remediation provided individually or in small groups at clinics or in special classrooms.

Environment: moderately to highly structured

Materials: Specially developed at a reading lab in one of the clinics.

Pupil-Teacher Ratio: 8:1 in classrooms; 3:1 in clinics

Training: none indicated

Parent Involvement: none indicated

Tests Used: Stanford Reading Achievement

Design and Results: Pre-post design. Reading grade-equivalent gain scores for junior and senior high school project participants during FY 67 exceeded both their own pretreatment growth rates and national norms (month-for-month). No consistent evidence of success was found at the elementary school level. Since FY 67 the project has been implemented only at the elementary school level and all evaluations have continued to produce negative results.

REMEDIAL READING LABORATORIES
El Paso, Texas

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: 824

Dates: 1969-70

Age or Grade Range: fourth - twelfth grade

Ethnic Group: mostly Mexican-American

Other Pupil Characteristics: Average intelligence; 1 to 1.5 years below grade level in reading achievement.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of basic skills.

Facilities: other classrooms

Treatment Duration: Approximately one hour daily for eight months.

Components:

Personnel: Counselors trained in diagnostic techniques referred students to lab teachers; half of the lab teachers were credentialed reading specialists; no aides.

Curriculum: remedial reading

Strategy: Use of special selection and scheduling procedures when diagnosing problems at labs; provision for systematic instructional planning and individualized instruction in labs; supplemental to classroom; access to reading resource centers.

Environment: highly structured

Materials: plentiful and commercially available

Pupil-Teacher Ratio: 8:1

Training: Approximately 27 hours of pre- and inservice training.

Parent Involvement: none indicated

Tests Used: Comprehensive Test of Basic Skills

Design and Results: Pre-post design. During FY 70, the 677 public school children for whom both pre- and posttest data were available showed a reading grade-equivalent gain of 1.21 years during the eight-month period between testings. Evaluations conducted using FY 68 and FY 69 data showed similar gains (actually somewhat higher) on comparable standardized achievement tests.

HIGHER HORIZONS 100
Hartford, Connecticut

Title I Support: No **Context:** Urban

Target Group Characteristics

Number Served: 100 **Dates:** 1969-70

Age or Grade Range: ninth grade **Ethnic Group:** none given

Other Pupil Characteristics: Average intelligence; one to three years retarded in reading; willing to participate.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of achievement in reading and writing skills.

Facilities: laboratory school; "school-within-a-school"

Treatment Duration: 3 3/4 hours daily for 8 months

Components:

Personnel: Two teachers were language specialists; one counselor worked full time with just these 100 students providing comprehensive services; one graduate student assisted with clerical duties, testing, and instruction.

Curriculum: Developmental and remedial writing and reading.

Strategy: Provided a comprehensive full day program in a demonstration school with intensive language training included in all academic instruction; taught by a special instructional team.

Environment: moderately structured

Materials: plentiful and commercially available

Pupil-Teacher Ratio: 12-13:1

Training: none indicated

Parent Involvement: Counselor visited parents when necessary.

Tests Used: Metropolitan Achievement, Iowa Silent Reading, SRA Writing Skills

Design and Results: Pre-post design. Performance significantly better than national norm.

PROJECT R-3
San Jose, California

Title I Support: No | Context: Urban

Target Group Characteristics

Number Served: 70 | Dates: 1967-68

Age or Grade Range: eighth - ninth grade | Ethnic Group: mostly Mexican-American

Other Pupil Characteristics: English speaking; at least one year below grade level but not more than two below in either reading or math.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading and math.

Facilities: other classrooms

Treatment Duration: Three morning class periods daily for a year.

Components:

Personnel: Full time reading specialist; full time electronic technician; no aides.

Curriculum: Developmental and remedial reading and math.

Strategy: Provided a special morning academic program in reading and math with applications to the solution of simulated or real world problems; normal junior high program in afternoon; provided several extended highly structured field trips to supplement instructional lessons.

Environment: moderately to highly structured

Materials: Some commercially available; others specially developed by Lockheed.

Pupil-Teacher Ratio: 15:1

Training: none indicated

Parent Involvement: Active participation in classroom activities, field trips, and meetings.

Tests Used: California Achievement - reading, math

Design and Results: Pre-post design. Performance significantly better than control group and national norm.

SUMMER JUNIOR HIGH SCHOOLS
New York, New York

Title I Support: Yes **Context:** Urban

Target Group Characteristics

Number Served: unknown **Dates:** Summer 1967

Age or Grade Range: seventh - ninth grade **Ethnic Group:** mostly Black and Puerto Rican

Other Pupil Characteristics: At least two years retarded in reading __or__ failed mathematics.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading and math.

Facilities: other classrooms

Treatment Duration: 1 1/2 hours daily for 4 weeks for each subject

Components:

__Personnel__: Regular teachers, counselors, and administrators employed; aides were high school graduates from impoverished communities in need of financial assistance to continue their education.

__Curriculum__: remedial reading and math

__Strategy__: Used conventional teaching techniques; grouped students by ability for reading but by grade for math.

__Environment__: Highly structured; a special handbook detailed procedures to be followed.

__Materials__: Some commercially available; others specially developed by project staff.

__Pupil-Teacher Ratio__: 20:1

__Training__: none indicated

__Parent Involvement__: none indicated

Tests Used: Metropolitan Achievement - reading, math

Design and Results: Pre-post design. Evaluations conducted from 1967 through 1970 have consistently shown that project participants made statistically significant average gains in both reading and arithmetic of at least 3 (and in one case as many as 9) grade-equivalent months during the 5.5 week treatment period. Normative data for intensive summer programs of this type are not available, but this project is judged to be successful.

COLLEGE BOUND PROGRAM
New York, New York

Title I Support: Yes

Context: Urban

Target Group Characteristics

Number Served: 2,000

Dates: Summer 1967

Age or Grade Range: ninth - tenth grade

Ethnic Group: mostly Black and Puerto Rican

Other Pupil Characteristics: Good attendance and behavior records; likely to enter only a general high school program; 25 percent initially scored above grade level, 50 percent scored at grade level or two years below, remainder scored even lower in reading and math.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on achievement tests in reading and math.

Facilities: other classrooms called centers

Treatment Duration: Three hours daily for six weeks.

Components:

Personnel: Each guidance counselor served 100 students full time in the summer; community aides served as family-program liaisons; college student aides served as teaching assistants.

Curriculum: Developmental and remedial reading and math.

Strategy: Motivated students to pursue a college prep curriculum and provided intensive individualized instruction to assist them in realizing this goal. Local colleges and universities committed themselves to admitting and providing financial aid for a certain percentage of participants.

Environment: varied

Materials: none mentioned

Pupil-Teacher Ratio: approximately 20:1

Training: none indicated

Parent Involvement: Community aides explained program to families and assisted them in finding medical services.

Tests Used: Stanford Achievement - reading, math

Design and Results: Pre-post design. Data from summer school sessions from 1967 through 1970 generally showed grade-equivalent gains exceeding the national norm expectation of month-for-month in both reading and math. While results on single subtests were occasionally negative, the general pattern was clearly positive and was supported by results obtained on the New York Regents Examinations. All evidence for the regular school year portion of the program was negative.

EXPANDED LANGUAGE ARTS PROGRAM
Buffalo, New York

Title I Support: Yes **Context:** Urban

Target Group Characteristics

Number Served: 1,884 **Dates:** 1966-67

Age or Grade Range: seventh - twelfth grade **Ethnic Group:** none given

Other Pupil Characteristics: Fifty percent spoke Southern rural dialect; 20 percent spoke Italian and 1 percent spoke Spanish at home; 29 percent spoke standard English; 85 percent achieving in lower third of class.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on tests of language achievement.

Facilities: regular classrooms

Treatment Duration: One class period daily for nine months.

Components:

Personnel: No special personnel.

Curriculum: Remedial language arts - speaking and writing, not grammar.

Strategy: Decreased the pupil-teacher ratio in language arts classes by hiring more teachers; provided an individualized program; teachers closely supervised.

Environment: moderately structured

Materials: Commercially available; heavy use of audiovisuals.

Pupil-Teacher Ratio: 10:1

Training: One week pre-service; monthly inservice meetings; weekly observations and discussions.

Parent Involvement: none indicated

Tests Used: Sequential Tests of Educational Progress, California Language Test

Design and Results: Pre-post design. The 458 high school pupils for whom pre- and posttest data were available showed grade-equivalent gains of slightly more than 1 year on the California Language Test during the 7-month period between testing. This gain is equivalent to a growth rate of 1.48 months per month. Seventh and eighth grade students made no significant progress on the California test and neither junior or senior high school pupils showed significant gains on the STEP.

HOMEWORK HELPER PROGRAM
New York, New York

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 410 students; 240 tutors

Age or Grade Range: third - sixth grades, students tenth - twelfth grades, tutors

Other Pupil Characteristics: Students were retarded in reading, lacking independent study skills; tutors had IQ over 100, reading at grade level or better, potential dropouts, not necessarily economically disad.

Dates: 1963-64

Ethnic Group: At least 50 percent Puerto Rican, 30 percent Black - students; 19 percent Puerto Rican, 18 percent Black - tutors.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on reading tests.

Facilities: other classrooms, after school

Treatment Duration: Two or four hours per week for five months - students; seven months - tutors.

Components:

<ins>Personnel</ins>: Master teachers supervised the centers and trained the tutors, but did not teach. Grade school graduates served as clerical aides.

<ins>Curriculum</ins>: remedial reading

<ins>Strategy</ins>: High school students were paid an hourly wage to tutor elementary school students in reading and assist them with homework; it was assumed that both tutors and students would benefit.

<ins>Environment</ins>: low to moderate structure

<ins>Materials</ins>: Commercially available but generally not used in regular classrooms.

<ins>Pupil-Teacher Ratio</ins>: 1:1

<ins>Training</ins>: Tutors trained using specially developed manual during a two week orientation period and weekly Monday workshops.

<ins>Parent Involvement</ins>: none indicated

Tests Used: New York Tests of Growth in Reading (Students); Iowa Silent Reading (Tutors)

Design and Results: Pre-post design. Performance of both students and tutors was significantly better than control group and national norms.

SUMMER UPWARD BOUND
Terre Haute, Indiana

Title I Support: No

Context: Urban

Target Group Characteristics

Number Served: 76

Dates: Summer 1966

Age or Grade Range: tenth grade

Ethnic Group: 55 percent Black, 45 percent white

Other Pupil Characteristics: Unmarried; college potential as judged by parents and counselors; high school grade point average of 2.17.

Project Characteristics

Measured Cognitive Objectives: Improvement in performance on ability tests in reading, math, and abstract reasoning.

Facilities: laboratory school

Treatment Duration: All day, daily for eight weeks of summer.

Components:

Personnel: Ph.D. director; full-time counselor supervised testing and dorm counselors; resident dorm counselors and tutors were college students.

Curriculum: Developmental and remedial language arts, math, study skills.

Strategy: Provided "highly" structured innovative program of academic and extracurricular activities to students living in residence on college campus in the hope of motivating them to continue their education.

Environment: highly structured

Materials: Some commercially available, others developed locally.

Pupil-Teacher Ratio: none given

Training: none indicated

Parent Involvement: none indicated

Tests Used: Differential Aptitude Test

Design and Results: Pre-post design. Gain scores statistically significant.

APPENDIX Q

163-164

SUMMARY

Inner-city Children Can Be Taught To Read: Four Successful Schools [1]

Description

The Council on Basic Education examined four inner city schools to determine the reasons for success in teaching disadvantaged children to read. The four schools which had appropriate data and success were:

New York, New York	PS 11 PS 129
Kansas City, Mo.	Woodland School
Los Angles , Calif.	Ann Street School

Achievement Results and Factors

Success was measured by third graders achieving a national grade-level norm or better as a median and an unusually low percentage of non-readers. Success at these schools required from 3 to 9 years. Factors that seem to account for their success are:

- Strong leadership
- High expectations
- Good atmosphere
- Strong emphasis on reading.
- Additional reading personnel
- Use of phonics
- Individualization
- Careful evaluation of pupil progress.

Not essential to the success of the 4 schools are:

- Small class size
- Achievement grouping
- High quality of teaching.
- School personnel of the same ethnic background as the pupils.
- Pre-school education
- Outstanding physical facilities.

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[1] Weber, George, Inner-city Children Can Be Taught to Read: Four Successful Schools, Council for Basic Education, October, 1971. Source: 76.

APPENDIX R

SUMMARY

165-166

BEGINNING READING AND MATH IN PS 133, NEW YORK CITY

Description of Study

PS 133 in Harlem initiated a beginning reading and mathematics program based on the approach and methodology developed by Dr. Caleb Gattegno as Words in Color and Mathematics in Color. The aims of the study were:

a. mastering the skill of reading with comprehension;
b. using the written language to express experiences with which they are familiar;
c. mastering computational operations with numbers of any size and any base and applying these skills to their everyday experience;
d. enjoying school work, as represented by the volume of free composition produced by the child in English and mathematics.

Achievement Results

Reading: Comparison of Metropolitan Achievement Test Scores for Grades 2 and 3 (Mean Grade Equivalents)

Mean Score Equivalent	Grade 2		Grade 3	
	1967-68	1968-69	1967-68	1968-69
PS 133 Mean	2.6	2.8	2.9	3.5
District Mean	2.3	2.3	3.0	3.1
Citywide Mean	2.7	2.8	3.7	3.6

Arithmetic: Comparison of Metropolitan Achievement Test Scores for Grade 3 (Mean Grade Equivalents)

Mean Score Equivalent	1968-69	1969-70
PS 133 Mean	2.8	3.2
District Mean	3.0	3.2
Citywide Mean	3.5	3.5

Cost and the Results

For reading in 1968-69 there were 89 students in grade 2 and 71 in grade 3 for a total of 160 students. The total cost of the program for 1968-1969, other than normal school expenditures was 37,884 or $237 per pupil.

Source: 73.

APPENDIX S

Summary

167-168

Input and Output in California Compensatory Education Projects

This summary briefly presents the findings of the recent study by Herbert J. Kiesling which analyzes the relationship between process program organization, and achievement gains in California compensatory education projects.[1]

Issue: Is there a Relationship Between Cost/Intensity and Probability of Success?

A random sampling of 42 projects in 37 school districts was used as the basis for this analysis. Test data for approxiamtely 10% of California's 125,000 Title I children in 1969-70 were studied. Scores from the Stanford Reading Test were correlated with teaching strategies, intensity of instruction, patterns of coordination of project, personnel and other variables. These data on the educational process were obtained through questionnaires administered through personal interviews of project personnel.

Briefly, "the findings were that the amount of instruction given by trained reading specialists is consistently related to pupil gains. There was some evidence to show that planning time and instruction by paraprofessional teaching personnel aiding the regular classroom teacher were also related to gains."[2]

The average gain for children in the projects studied was .87 months per month of gain; this is .17 months gain greater than the normal rate of .7 months per month for disadvantaged children. The gain was substantially greater in projects using reading specialists. The multi-regression analysis used by Kiesling found that the minutes of instruction by the diagnostic reading specialist were related consistently to the performance of children with about 30 minutes of individual equivalent instruction per week.[3] In addition, when costs were assigned to input variables - for example $12,000/year for a reading specialist - it was found that "an expenditure of $300 per pupil by a specialist will bring these children /_ disadvantaged Title I children_7 on the average to a rate of gain in reading near the national norm. This would be somewhat more probable if the specialist is assisted by paraprofessionals working in the pupil's regular classroom."[4]

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[1] Kiesling, Herbert J., Input and Output in California Compensatory Education Projects, The Rand Corporation, R781-CC/RC, October, 1971. Source: 74.

[2] Ibid., summary.

[3] Testimony of Herbert J. Kiesling, before Senate Educational Subcommittee, April 6, 1972.

[4] Ibid.

Limitations of the Data

Although the sample is reasonably representative of the state and minorities are somewhat overrepresented in terms of projects, the sample did not contain large city "hard-core" situations. Thirteen of the forty-two projects in the study which had the best reading gains, "were in schools where the percentage of Title I children of total school enrollment was 50% or less."[1]

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[1] Testimony of [illegible] J. [illegible], before Senate Educational Subcommittee, April [illegible]

APPENDIX T

EFFECTS OF DESEGREGATION ON STUDENT ACADEMIC ACHIEVEMENT: A RESEARCH REVIEW

This analysis of the academic effects of desegregation focuses on one extremely important aspect of school desegregation. Other considerations--the possible effects of desegregation upon self-concept, adaptability to living in a multi-racial society, educational attainment, and occupational and income levels, for example--as well as the moral and legal aspects of desegregation, are important issues that are outside the scope of this review.

First, studies on the effects of individual social class, school social class, racial composition and other variables on academic achievement will be reviewed. Second, long-term studies of achievement in school districts before and after desegregation will be examined. Finally, the critical question of what research shows us about how desegregation works best will be reviewed.

School Social Class and Academic Achievement

Research findings clearly show the strong relationship between the socio-economic status (SES) of a student--that is, the social class of his family--and his academic achievement. Students (especially blacks) from advantaged families score higher on the average on achievement tests than students from disadvantaged families. However, if individual SES is controlled, there is strong evidence that disadvantaged black students achieve higher if they attend schools with more advantaged students. The educational effectiveness of this "student body" or school SES effect is shown in:

(1) The Coleman Report and its many reanalyses, which are remarkably consistent in this finding.

(2) Alan Wilson's sophisticated longitudinal study, "Educational Consequences of Segregation in a California Community" in the U.S. Commission of Civil Rights report Racial Isolation in the Public Schools.

(3) A study by J. A. Michael of 35,000 seniors in a nationally representative sample of 518 high schools.

(4) An unpublished longitudinal study of eight Pittsburgh schools conducted by Nancy St. John and M.S. Smith.

The research showing a school SES effect on achievement is remarkably consistent. One of the major arguments against the Coleman school SES finding is that, because of the cross-sectional design of the study, the school SES effect may in fact represent a selection bias and not a real educational effect. Marshall Smith suggests that biases and selection factors may explain Coleman's student body effects, but he does not document his selection hypothesis.* The continued presence of the school SES effect in the longitudinal studies strengthens the validity of the Coleman findings.

Different studies diverge when they attempt to examine additional factors such as school quality, desegregation, and school racial climate effects. These studies will be examined later, but it should now be emphasized that the attempt to attribute increments of educational gain to various school quality, desegregation, and social structure factors can obscure the major policy findings:

(1) Whatever it is that happens in middle class schools, after controlling for individual SES, disadvantaged black students achieve higher on the average in middle class than in lower class schools.

(2) Middle class schools attended by black students are predominantly white schools in most cases.

(3) There is an educational value of school desegregation for improving black student achievement.

Generally, the school SES effect is interpreted as beneficial to disadvantaged blacks through exposure to students from homes with higher educational backgrounds and higher educational aspirations. Some researchers also suggest that teachers in middle class schools more commonly have expectations for success for their students. Teachers in lower class schools have lower expectations for their students.

Differences in school quality could explain some of the school SES findings. That is, middle class schools could contribute to the better performance of disadvantaged students because of superior facilities or staff. However, Coleman found a strong independent school SES effect (stronger than school quality effects). Re-analyses of the Coleman data show varying relative importance in school SES and school quality factors but still support the original finding that school SES is an important educational variable. Studies using other sources of data provide contradictory evidence on the educational importance of different school quality factors, providing educational policy makers with little assistance in the allocation of educational resources. Few studies provide data on both desegregation and school quality although some desegregation studies report observations that segregated and desegregated schools being studied appear to be equivalent. In many smaller studies, the possibility of school quality differences explaining part or even all of a desegregation effect exists. However, the practical relevance of this argument for students receiving a better education under desegregation may be nil. Furthermore, this argument is frequently turned around by desegregation advocates (and sometimes courts) as an additional argument in favor of desegregation.

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*Smith does not document the extent to which junior and senior high school students are selected to attend schools on the basis of achievement test scores and consequently things correlated with achievement.

Studies have attempted to examine the question of independent effects of school and classroom racial composition in addition to the school SES effect. That is, if a disadvantaged black student attends a middle class school, is he more likely to achieve higher if his school or his classroom are predominantly white? Results here are contradictory, at least in part because of technical statistical problems created by the high correlation between school social class and school percent white students. Coleman found no additional desegregation effect while some of the reanalyses of the Coleman data have found such effects. Wilson found in his California study "that racial composition of the school, while tending to favor Negro students in racially integrated schools, does not have a substantial effect--not nearly as strong as the social class composition of the school." The St. John and Smith study referred to earlier found independent arithmetic achievement gains through desegregation after individual SES, neighborhood SES, and sex controls had been introduced, although reading achievement gains were not found. Given that most middle class schools attended by blacks are desegregated, the presence of a desegregation effect in addition to a school SES effect is of relatively small practical consequence.

Because school social class and racial composition are so highly correlated, studies lacking the former but having the latter data are useful if reliable individual family background data are also utilized. Family background data are important because achievement has repeatedly been shown to be very highly associated with family background, especially for blacks. Studies containing individual SES and racial composition data are:

(1) New Haven,Connecticut (Nancy St. John, 1964)

A study in New Haven showed that with individual SES controlled, eleventh grade blacks who had attended more desegregated elementary schools tended to have higher school achievement test scores (although the differences were not statistically significant).

(2) Robert L. Crain (1971)

Data from a random sample of 1,651 black adults living in northern metropolitan areas showed higher average verbal test scores for blacks that had attended desegregated elementary schools or high schools. These relationships were maintained when controls for sex and four indvidual SES variables (father's education, mother's education, number of siblings, stability of parental family) were introduced. A quality of education index added as a control did not explain the difference between the results for adults that had segregated vs. desegregated schooling. The quality index "accounts for none of the difference in the verbal test score."

(3) Denver, Colorado (Massarotti, 1969)

A study of elementary school students compared transported pupils, pupils in receiving schools, and pupils in the sending schools (i.e., the schools the transported pupils had attended). After extensive matching including race-ethnicity and family SES (measured by occupation of family's chief wage earner) and statistical adjustments for most recent IQ score and previous year achievement test score, no significant differences in achievement were found between the comparison groups. However, statistical problems caused by the high correlation between recent IQ score, pretest achievement score, and achievement score one year later could have obscurred desegregation effects.

(4) Gulfport, Mississippi (Goolsby and Frary, 1969)

A study of an experimental education program involving 200 disadvantaged first graders also analyzed differences between black pupils in segregated and desegregated schools. After controlling for father's occupation and student's mental age, the desegregated blacks had significantly higher achievement scores than the segregated blacks.

A large number of additional studies have been conducted which are not reported here because of technically inadequate designs or other problems. Although some studies are not reported here because they are too old (pre-1960), the most common reasons for elimination are: small sample size, no or inadequate control on individual SES, use of IQ and/or pretest controls in a way that distorts findings, self-selection, longitudinal studies with high losses of desegregated and/or segregated students, and experimental studies with non-equivalent experimental (desegregated) and control (segregated) groups.

The reliance of many studies--including some reported here--on reading achievement test scores probably underestimates desegregation effects. Coleman and others have shown that reading achievement test scores are not as sensitive to school variables as other test scores. Success in reading is more influenced by non-school factors than is success in other areas of academic achievement.

Before-After Desegregation Studies

Some studies without individual SES controls may still be useful because they contain achievement data before and after desegregation and follow large groups or cohorts or a smaller sample of individual students for substantial periods of time. The major methodological problem with these studies is the lack of knowledge about possible changes during the time period in the average social class level of the minority students in the schools. If the family SES level is going down (through in-migration of poorer blacks or movement of more advantaged blacks to the suburbs), achievement gains over time will not be shown in this type of analysis.

Berkeley, California **took voluntary steps from 1968-69 to reduce racial isolation in its school system.** Achievement test scores for blacks in the elementary grades began to show improvement in 1970 and 1971. These data show that blacks are still below the norm (and below Berkeley whites, who have been above the national norms and are now doing about the same or slightly better than before desegregation) but the normally observed increasing gap in black achievement as blacks advance to higher grades is being reduced. (For example, in 1967, second grade blacks were 0.6 grade levels behind the test norm compared with 0.4 in 1970; 1967 third grade blacks were 1.0 grade levels behind the test norm compared with 0.7 grade levels in 1971.) The achievement of black students at the middle grades in Berkeley is improving but not as much as in the lower grades. Black achievement at the upper grades is low but the testing program in those grades is new and it is impossible to determine whether the current results represent any change. The favorable results for younger children are frequently found in desegregation studies and suggest the importance of desegregation at an early age.

The Berkeley desegregation findings are complicated by the introduction of numerous programs aimed at improving educational quality during the 1967-1971 period. On the other hand, the exceptionally high performance of white students in the Berkeley schools may constitute an unusually severe psychological threat to blacks. Whites in the lowest quartile in Berkeley achieve at the national norm for the standardized test.

In southern California, a similar study is being conducted in Riverside. Desegregation was initiated in 1965 and substantially completed in Fall 1967. Achievement test data were collected each May from 1965 through 1970. Research in the first three years of desegregation in Riverside showed no change in minority achievement. Other analyses in Riverside suggest that the achievement gap between desegregated minority (black and chicano) students and the majority group students has remained about constant, representing an improvement over the usually observed increasing gap between minority and majority students over time. All Riverside studies show that majority group achievement has not had any decline since desegregation. The Riverside longitudinal analyses are difficult to interpret with great confidence because of extreme changes in the types and forms of achievement tests administered during the time period studied as well as loss of sample problems.

A recently completed study of Evanston, Illinois collected baseline and concurrent achievement data from fall 1967 through fall 1970. Black students showed consistent improvement in mathematics achievement in the primary grades. Other achievement subtests showed no consistent gains or losses for blacks. White achievement remained at the same level during this period. A separate substudy consisting of a matched longitudinal analysis showed that traveling to school by bus had no adverse effect on blacks or whites. Although the effect was not strong, blacks bused from formerly segregated schools showed greater achievement gains than their former black classmates who were walking to their new desegregated schools.

Summary of Findings

The high quality research evidence reviewed here suggests that black achievement tends to be improved by attending desegregated or middle class schools. Gains through desegregation are not always found but losses are **not** found. Gains sometimes result in reducing the usual increased black-white achievement gap as both groups advance through the schools. At the same time, evidence of gains combined with the absence of alternative educational strategies with demonstrated superior effectiveness, suggests the high educational importance for desegregation in improving black academic achievement. There is no evidence that desegregation reduces white achievement as long as a half or more white situation exists.

Successfully Implementing Desegregation

What happens as school districts, schools, and classrooms desegregate? One encouraging piece of evidence comes from a massive study of 252 randomly selected southern school districts conducted for the Office of Education by the Resource Management Corporation in 1971 when a great deal of desegregation was occurring or had recently occurred in the South. Over 9,000 interviews were conducted with school district officials, principals, teachers and students in fourteen southern States. The study found that the racial climate in the schools had significantly improved as the 1970-71 school year progressed. Respondents reported positive changes in numerous areas of the school racial climate much more frequently than they reported negative changes. Furthermore, positive changes were more frequently reported by respondents who retrospectively reported the most negative expectations at the start of the school year. In short, racial climate improvement appears to have occurred where it was most needed.

Knowledge about the effectiveness of different policies and practices in implementing desegregation is limited. Clearly, despite what overall favorable trends may exist, the process in which desegregation is implemented in the nation, state, school district, and school must have a crucial impact on its success or failure in the classroom. While knowledge of general trends is vital, the implementation of effective desegregation by officials at all levels and by students and parents is a critical policy issue. It is naive to expect automatic achievement gains through desegregation quickly and under all circumstances.

The effectiveness of implementing desegregation in a manner that provides both a middle class student body and a racial composition of at least 50 percent white has been emphasized in the Coleman data.

Psychologist Irwin Katz has developed from his research a four-factor model which is useful in explaining black performance in biracial situations. On the negative side, Katz lists:

(1) Lowered probability of success

> Where there is a marked discrepancy in the educational standards of black and white schools, or where black children have already acquired strong feelings of inferiority, they are likely to have a low expectancy of academic success when introduced into interracial classes. This expectancy is often realistic, but it has the effect of lowering achievement motivation. The policy implication of this factor is to reduce its impact by beginning interracial instruction in the earliest grades. This is consistent with the findings of the Coleman report and its reanalysis by the U.S. Commission on Civil Rights. Several of the studies discussed in this paper also find more encouraging academic progress for desegregated blacks at lower grade levels. On the other hand, the impact of desegregation upon low ability blacks may not necessarily be negative. Seeing whites in their classroom make mistakes can dispel feelings of black inferiority which our society has imposed on blacks.
>
> The factor of lowered probability of success is also used by some experts to explain the need for non-threatening compensatory education activities for lower achieving blacks within desegregated schools. The need to devise such programs to prevent the full-time isolation of black children within biracial schools is frequently cited.
>
> A related factor of control over one's environment or destiny (also called "fate control") is important. Fate control is measured, for example, by disagreeing with the statement, "Everytime I try to get ahead, something or somebody stops me." Coleman found that blacks with higher levels of fate control achieved much higher than blacks without this perception (independent of family SES, school SES and other factors). Furthermore, blacks in desegregated schools were found to have higher levels of fate control than segregated blacks.

(2) Social threat

Any biracial situation for blacks poses potential social threats because of the prestige and dominance of whites in American society. Rejection of black students by white classmates and teachers can solicit emotional responses detrimental to achievement. This result is consistent with the Commission on Civil Rights finding that black academic achievement is highest in integrated schools featuring low levels of racial tension and high levels of cross-racial acceptance. The social threat factor is the heart of the argument for the need for integrated rather than simply desegregated schools. Symbols of resistance to desegregation such as the discriminatory firing of black teachers and administrators, discrimination in extra-curricular activities, segregated classrooms (or segregation of races in different sides of the same classroom), and similar symbolic acts and practices can be expected to be detrimental to black performance but there has thus far been no empirical test of this hypothesis.

(3) Failure threat

Failure threat arises when academic failure results in disapproval by significant others: parents, teachers, or peers. The role of teacher expectations can be crucial in this area. Eugene Johnson constructed a scale of teacher expectations in 145 Riverside classrooms. He compared teacher ratings of the ability levels of her minority and white pupils with the pre-desegregation achievement test scores of those minority and white pupils. A scale was constructed in which teachers who accurately perceive the ability of their minority pupils (high expectancy) are compared with teachers who either underestimate the ability of their minority pupils or overestimate the ability of their white pupils (low expectancy). Children with low and high expectancy teachers did not differ significantly on pre-desegregation achievement. In high expectancy classrooms all race and ethnic groups showed little achievement change from pre-desegregation levels, but in low expectancy classrooms blacks showed significant decreases in achievement while whites showed slight increases. Furthermore, minority children achieving the highest before desegregation were the most adversely affected by teachers with low expectancies. The situation for minority pupils is further exacerbated by the fact that they seem more sensitive than whites to the interpersonal behavior of their teachers (Nancy St. John, 1971).

> The RMC study referred to above found that teacher training activities funded under the Emergency School Assistance Program were ineffective. School racial climate measures showed more improvement in schools that did not have ESAP teacher training than in schools that did. Whether teacher training produced lowered expectations for black students is impossible to determine from the data. But, whatever the reason, teacher training as currently practiced does not seem to be effective in improving school racial climate in the majority of cases.

The positive side of the Katz model is that acceptance of blacks by white classmates and teachers often has a:

(4) Social facilitation effect

> Acceptance, Katz observes, has a social facilitation effect on blacks' ability to learn. The anticipation that skillful performance will win white approval rather than rejection endows scholastic success with high incentive value with the absence of severe social threat.
>
> The findings by RMC of the improvements in the school racial climate during the 1970-71 school year in the South are especially encouraging from the view of this model. Although the effect of racial climate on black academic achievement has not been sufficiently researched, positive effects on achievement (such as those referred to above as found by the Commission on Civil Rights) should be found. Research currently being undertaken by the Office of Education is being directed at this area.
>
> The impressions of some of the Riverside researchers over a period of years in observing desegregation evolve are instructive. Noting that some Riverside schools have been more effective than others over the years in producing achievement gains, they note that two of the desegregated Riverside schools with the greatest improvement in minority achievement have: (1) extensive parent involvement including working in the schools as aides and in other positions, but also involvement in real decision-making in school planning and programming as members of an active advisory group, and (2) teachers working with the principal and parents on curriculum but also encouraged to use these inputs creatively and individually. The educational programs and curricula of these two successful schools differ considerably; it may well be the process that is the crucial factor. The number of teacher aides hired may matter for less than how they are utilized and involved. The curriculum developed may matter

> far less than the climate in which it (or, rather, they) are conceived. Processes like these may be the long-term key to "social faciliation" and successful education.

Detailed generalizable research evidence on successful activities that schools can undertake to improve minority student achievement in desegregated settings is virtually non-existent. The RMC report found counseling, counseling support, student-to-student, and remedial programs effective in improving school racial climate. As presented above, this could also lead in a causal chain to improved academic achievement but this cannot be tested with the RMC data. However, a current Office of Education evaluation will explore these questions in depth.

8

The Urgent Need for Experimentation [*][1]

JOHN P. GILBERT & FREDERICK MOSTELLER

To get better schooling for our children, we must find out how to strengthen our educational system. This will require study and especially, as we shall explain, experimentation.

When we speak of experiments, we are not talking about innovation in the "let's first try this and then try that" sense. Instead we mean large-scale field experiments with honest controls. To show how the methods tested work in different places and under different conditions, the size must be large. Few great gains having wide application will be made in the educational process without such large-scale experiments, even though the ideas to be tested may arise from the most delicate laboratory work or from the most abstruse theories. Innovation, while essential, cannot strengthen the educational system unless its gains are confirmed by extensive trial and evaluation.

The nation is currently redefining the goals and reordering the authority structure of its school systems. We do not discuss these issues, though we recognize that political changes can make great differences. No matter how these issues are resolved, society will still need to know how to teach children well. Although some experiments cannot be carried out in the midst of upheaval, the type of investigations we recommend need not delay any particular change in school systems.

Furthermore, the educational process must be related to the larger process of the community. For example, school milk and lunch programs long ago recognized how important physiological factors were to children. Evidence grows that better nutrition much earlier may prevent damage to a child's mental processes. How much earlier? Before birth? We are slow to find out about this because we don't do enough genuine experiments. Similarly, we need to appraise other physical, economic, and social factors not

[*] This work was facilitated by a grant from the National Science Foundation (GS-2044X).

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[1] From: On Equality of Educational Opportunity, edited by Daniel P. Moynihan and Frederick Mosteller, Copyright © 1972 by Random House, Inc. Reprinted by permission of the publisher.

only in the school but also in the family and community for their effects upon children's education. How important is father's employment to success in school? We need not limit the experiments to the confines of the schoolyards, for one way to strengthen the schools is to strengthen the students.

◆ *Experiments Are Convincing*

Nearly everyone writing about the Coleman Report has emphasized that it was based on a survey taken at one moment of time and not on an experiment. Thus, even though we can compare groups of pupils who were exposed to somewhat different conditions, we have difficulty in arguing that those differences in conditions largely or even importantly contributed to the differences in performance of the various groups. Everyone sees why. Let us take a neutral example. If we see that one group of people has bigger dwellings than another, we can spend the rest of our lives arguing the reasons. Were they richer to begin with? Did they have more children and need the space? Were they rural people at heart who just appreciated space more than city-lovers? Or all of these? However, suppose that we take a large group of people, give a randomly chosen half of them $1000 a year and give the other half nothing. If at the end of two years we find that the half with the extra money have increased the size of their dwellings considerably more than the others, few will argue that the increased income was not a cause. The random assignment of the experimental treatment triumphs over all the little excuses for not attributing the effect to the difference in treatment. To summarize, an experiment is a strong way to find out the effect of a treatment. George Box said it well: "To find out what happens to a system when you interfere with it, you have to interfere with it (not just passively observe it)."

◆ *Other Ways to Knowledge*

Admittedly, experimentation is not the only way to find the effect of a treatment. Much of what we have learned and act on in life comes from observation—studies that systematically gather facts about what is happening, but do not actively interfere with the process. If we observe that children with less food do not learn as much in school as those who have more, we are inclined in the twentieth century to suppose that families with more food will produce healthier children and that healthier children will learn more quickly, rather than that hunger sharpens the wits.

Consider the Coleman Report's suggestion that school variables have little effect and let us misunderstand that claim to mean that schools don't matter to learning. Then we can do a mental experiment by thinking about how much algebra will be learned if students do not go to school, but just stay home and sop up learning by themselves. After all, isn't that the best way? Self-motivated learning? Surely, but we all see that only a very few people will learn any algebra.

In a sense, we also have observational evidence on this as well as a mental experiment. Many college-educated people today had fathers who did not go past the 6th grade. By and large they know that their fathers didn't learn any algebra by themselves, however clever they may have been with numbers. Studies of adult education don't show people learning mathematics by themselves until they have learned a great deal of it. Even self-taught heroes like Abraham Lincoln made no progress in algebra and calculus. Both mental experiment and observation tell us that mathematics beyond arithmetic would not be learned if schools were abolished. Therefore, the notion that school variables have little effect does not in the least mean that schools don't matter to learning. Rather, given that we have school systems, the objection has been that the presence or absence of certain school features does not seem to make large differences in performance by the pupils. Insofar as it is true, this is important because the schools have not educated certain groups as well as society wishes, and we do not see how to improve their education by modest changes in the school variables available for adjustment. The argument is a bit queasy here because 1) of lack of experimentation, 2) of not pairing a facility with its special trainees (swimming pools don't teach much French), 3) previous successful equating of important variables may have concealed their effect, and 4) reports for school systems rather than schools also suppress effects.

When we find that an observational study suggests that certain variables produce effects of a given sort, we are usually correct in assuming that they do. Once in a while, a more controlled study will give a different answer.

Still another difficulty is that many different causal schemes can usually be proposed to "explain away" the results of an observational study. The number of alternative explanations should certainly be weighed, but it is well to put one's faith in simple direct explanations rather than elaborate circuitous ones. Our own experiences with observational studies and related experiments have been that the controlled study usually does not contradict the observational study, but it does clarify matters and make them firmer. Let us give a concrete example of the sort of thing this experience suggests until better evidence appears. We know that richer people are better educated, and so we conclude for the moment that if poorer families get more money their children will later be better educated than they would otherwise have been. But this conclusion will always be tantalizingly and endlessly arguable. Therefore, where we, as a society, care about a causal relation, we need substantial experiments to settle some of the arguments—arguments that cannot be put to rest by observational studies or mental experiments.

◆ *Facts Help*

Firm facts now and again clear the air in remarkable ways, and they are needed because we are so good at speculating. If a rumor circulates that disease A is soon going to become a public health problem, facts such as that only 1 death per 100,000 relates to this disease and that no increase in the rate has been observed in ten years rather chill further speculation. But without such facts, we can worry about building special hospitals to take care of the patients, perhaps think of creating a medical speciality for it, consider what antipollution measures may be effective against it, and at the very least organize a study. The Coleman Report has done a great deal to supply firm facts.

For example, almost no one tries to argue in the face of the Coleman Report that rural areas produce the best students. Yet prior to the publication of the report, it would have been easy to find proponents of this position.

Let us note that we have got rather good at fact-gathering through sample surveys and observational studies over the last forty years. The improvement has come from the increased use of quantitative methods in a variety of fields: public health, sociology, psychology, and economics, and from new statistical developments that have strengthened the theoretical and practical bases of these surveys and studies. The result is that we have become better at measuring how things are now, and even at measuring how they have changed recently in the general population. The development of this statistical ability has been most important, and we now have several facilities for carrying out such studies. Such facilities must have know-how in the practice and theory of sampling, in question-wording, in interviewing, and in the construction of questionnaires. They must also have field staffs ready and waiting, technical staffs and equipment prepared to code and check and analyze the questionnaires, and fiscal groups to handle costing and accounting. Such organizations take years to create and shake down, and we are most fortunate to have a variety of them. These organizations are found in the commercial field, in universities, and in the government, where the Bureau of the Census has been an exceptionally able leader. Large-scale investigations of any kind require large and complicated facilities to carry them out, and we see that in the area of sample surveys we now have great resources.

Our progress in national sample surveys has not been matched by corresponding progress in large-scale controlled social investigations nor in the evaluation of large social programs. We have large-scale experimental research organizations in the agricultural experiment stations of the nation, and we have mounted large medical experiments, such as the nationwide trials of the Salk vaccine for polio, but nothing comparable* is available in the social field.

◆ *Large-Scale Controlled Investigations*

If we are to move into large-scale experimentation we shall have to have the facilities for it. In 1967 Manning Pattillo suggested that in the future private foundations would be more interested in evaluating their programs and that they therefore would need more staff qualified to make appraisals. He even suggested that private foundations might be able to offer government an impartial appraisal of its programs. Such ideas must in the end lead to controlled experimentation in social programs.

Haven't we done controlled experimentation in the past in the field of education? We have. The literature is full of it. We have not been very successful with such experimentation, but not for want of trying. Our attempts have been frequent, usually in the tradition of the small tight experiment of the laboratory psychologist rather than the broader large-scale field study, with repetition in a variety of places: repetition suited to the place and personnel. For example, to improve the teaching of students handicapped by poverty, language, and indifference, research will have to be done in schools where such conditions apply rather than among the rich or middle class alone.

We have not done these large-scale experiments partly because the money has not been available, and partly because we have thought that the tightly controlled classroom study would tell us what we wanted to know. Such studies have generally been disappointing in practice. Some possible reasons are that organizations, families, teachers, students, and their backgrounds vary a great deal from one part of the country to another and even from neighborhood to neighborhood, and so any investigation is bound to have a great deal of background noise in it. Indeed, after half a century of tightly controlled studies of optimum class size, we have made practically no progress toward answering the question (perhaps nature is hinting that the question is a poor one as customarily phrased). It is not that we haven't done controlled investigations, but rather that the studies have been too small and specialized for their implications to have much chance of holding in new situations.

To spell out a difficulty with the tightly controlled experiment, one might note that an experiment involving 600 pupils sounds good-sized, but if classrooms rather than students were what was important, we might be down to 20 classrooms for classes of 30 students. If, further, schools were important, the 20 classes might be distributed among only 4 schools, say, and a sample size of 4 is small, indeed. But the final blow may be that all schools are from 1 school system in 1 county in 1 state in 1 region of the county, and so from many points of view such experiments are based on samples of size 1, a very small sample for choosing a national program.

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* Perhaps the nearest to an example of such a facility would be the University of Michigan's Research Center for Group Dynamics.

When the same treatment under controlled conditions produces good results in many places and circumstances, then we become confident that we have found a general rule When the payoff is finicky—gains in one place, losses in another—we are wary because we can't count on the effect. A nice experiment like the Hartford busing study reported in Dyer's chapter on future studies has a partial replication from grade to grade. But we dare not press whatever generalization we draw beyond "communities like Hartford" until other places can show similar gains.

◆ *The Obligation to Experiment*

We have many social programs, and these programs are often repeated in place after place. Yet we seldom take any advantage of the existence of these automatic repetitions, which are just what one needs for controlled investigation. When such programs exist in parallel for community after community, we owe it to society and the taxpayer to take advantage of these repetitions to strengthen our inferences about what aspects make them better.

People often think that if we are to experiment, then we are going to abuse or mistreat. They may even say that we must not experiment with people, especially children, because they are too precious to be so abused. Since we change the educational system frequently and arbitrarily, and cannot profitably record the results of these haphazard adjustments, the abuse is that while "experimenting" in this casual way we are learning little. Since planned variation can tell us something, frittering away the opportunities to learn from operational changes devalues the experiences of the participants by neglecting to use them for society's benefit.

We want to find better ways of teaching where we are not doing as well as we would like. Living in ignorance, we have an opportunity, even an *obligation*, to experiment. The purpose of the experimentation is to aid innovation. Much has been said and written lately against experimentation, but little or nothing about the obligation to experiment. When we are spending huge sums on programs that have little theoretical or empirical grounds for success in improving society, we should evaluate and experiment as we go to find out how the programs can more fully carry out their missions. To find out more, we will have to change our attitude toward the word "experiment" or perhaps get ourselves a new word.

Experimentation need not affect a large portion of the program, indeed often not much more than the informal sort of changes that are so often made and explored in every school system. But it does require planning, careful execution, data-gathering, and analysis. We need not expect the first few to be carried out very well; we need experience.

Since we are involved in distributing scarce resources, we need to evaluate new programs carefully to see first how to strengthen them and then second whether to maintain them, or try an alternative development. We should be continually planning alternative programs to replace those that do not work out.

The position of the administrators of experimental programs needs to be clearly understood. Their careers should not depend upon the success or failure of a particular program but rather upon their skill in exploring the virtues and shortcomings of the program. This point has been eloquently discussed by Donald Campbell (1969) who has pioneered in the development of statistical methods for quantifying the effects of changes in policy.

One of the compelling reasons for educational experiments is the importance for society of every improvement in the learning process. The lives of large numbers of people are appreciably improved by every such advance. In addition, how successfully our society functions relates directly to the extent that people have acquired the skills we need to achieve our goals and individuals need to achieve theirs.

No matter how much experimentation we do, controversy will still be the order of the day. Every part of science and engineering has its prizes. When they are as large as those resulting from a huge new program in education, we can expect controversy even in the presence of good data. Conflicting advice will be available from highly regarded experts. This calls for some innovations in the appreciation of science for policy decisions, and we might hope that political scientists would suggest and appraise some ways that administrators could use to help choose between competing programs. Until now an administrator mainly relied upon his own intuition, the "consensus" found in the journals, the advice of wise friends or of special commissions created to study specific programs. In the fall of 1968, both McGeorge Bundy, in an address at the American Academy of Arts and Sciences, and Harvey Brooks, in conversation, have called our attention to the possibility of developing an adversary procedure so that an administrator could fairly hear the sides of a difficult question argued by prepared experts, with the help of his own experts to guide some part of the questioning. We believe that exploratory studies should be undertaken to find ways to help administrators make good use of science and scientists.

◆ *What If We Don't Experiment?*

First, without experimentation we are dependent upon the natural selection and evolution of programs to strengthen and improve the system. The social process is too complex and educational institutions are too rigid for us to expect speedy unaided evolution. The appraisal of results from informal variation is too difficult, in the face of so many uncontrolled variables, to guide policy. We need experiments to get some firm results. Without them, we will discard fine programs along with the poor ones.

Second, a great many innovations will be tried in one or two places each, and each will be declared the solution to our educational problems. Then as others try them, they will usually fail. If these were the only losses, they could be borne. We expect many failures. Furthermore, every new plan has to have some pilot studies before we try it out on a larger scale. But unless studies are carried out in a systematic way, we will not have learned about conditions when a method may be of use and when it may not, or what features of the program still show promise in spite of general failure. These are the losses that matter, for without systematic effort, we stumble on generation after generation, learning little and fooling ourselves that we are learning something about the process because we are busy doing new things. Thus, by never getting firm facts, we are always in the position of believing that "the" solution is contained in the new program just being tried.

The controversies about the Coleman Report show that we still are ignorant of what makes education tick for children and of why what works for some doesn't seem to for others. For whom is laissez faire wise, and for whom a lockstep program? Naturally we do not expect that only one sort of program is workable, because children can adapt to or resist most things. Our point is that when a big national effort is as little understood as education now is, we are obligated to experiment.

Third, without experimental studies we can expect continual arguments like those that surround the present Coleman Report. Do school variables matter, and if so, how much? If we care about questions of this sort, and they seem to be of general interest, we need experiments. Actually, the controversy here is as much over the definition of a school variable as over the magnitude and importance of its effect. Designing and executing an experiment or two will go far toward clarifying these issues.

The more general sorts of methodological squabbles on which many papers about the Coleman Report focus can be partly cured by carrying out some actual experiments. As long as these are not done, we have no solid foundation to build upon. Much of science makes its progress by discovering a few firm facts, then moving up a level and building on these. Once one gets three or four layers high, the discipline is on its way to an era well removed from its earlier primitive state. We have received a few firm facts from the Coleman Report; now we need some experiments to build on them.

◆ *Innovations Are Often Ineffective*

Here again we have to face the music. Most innovations will do little or no good. In reviewing a recent survey reported by Jack Elinson at the

Ross Pediatric Conference, we concluded that among ten substantial programs designed to improve the welfare or health of the people involved, the control group in seven did about as well as those receiving the new treatment. The most valuable lesson here is that we find this out only because we had controlled investigations. Had experiments not been done, we would have had little way of knowing that the programs were not improving the performance that they were intended to advance. Instead, encouraged by the originality, progressiveness, and plausibility of the programs, we might have initiated them at great expense throughout the nation. Now, at least we know that the particular techniques do not work well and in some instances why not.

The second valuable lesson is that most innovations don't work, even when they are introduced with the best will in the world, are carefully thought out, and vigorously and expertly executed. This shouldn't surprise anyone. There must be hundreds of new mousetraps invented for every one that catches on in the marketplace. Building a better society is not easy.

Why are educational innovations frequently ineffective? A great effect occurs when we introduce a school or a school system into a region that has none. Those who go to school are going to learn arithmetic and spelling better than they would have if they had not had systematic schooling. Indeed, one of Elinson's exceptions to the lack of effect in social programs had to do with starting new programs of training.

Introducing a brand-new program where none existed before can have enormous specific effects. However, when someone looks at a going school system and suggests that it be changed to make it better—let's be specific, to make the students learn arithmetic better—he has two strikes against him. First of all, the system is running now, and the proposed innovations can possibly reduce its effectiveness. Second, the people who formerly ran and are now running the school will have put a strong effort into doing what they can to make the system pay off well. So at best the change is only going to take up part of the slack between how well the system works now and the best it could do. When one has a choice, as a manager may have in a plant, between trying to produce a product more cheaply and thinking of a new product that may bring in additional profit, he is very likely to opt for the latter because he will usually have done the obvious and the customary things to improve the process of manufacturing for the old product. Beyond this, he cannot expect hard effort to pay many percent. This does not mean that a new insight, material, or machine might not come along that would make a tremendous difference in profit, but until it does, he is justified in putting his effort and investment of capital into a new product line.

This is, of course, one possibility for education. Perhaps new product lines are what we need. We are not arguing this point, but about the need to notice that when one has a going concern, improvement isn't easy. In spite of all the discussion about the feebleness of our school system, we are putting more students into college than ever before both absolutely and percentagewise; this is true of every race, color, and creed; and we lead the world in this effort. Nevertheless, we are called upon to make changes. We have noted that improving a going concern is not likely to pay off as well as introducing the concern in the first place did. So in innovating we are likely to be in for disappointments, but we may pick up an acorn once in a while, occasionally even find a pot of gold. Just as we won't readily make great gains, we also aren't likely to suffer big losses.

We emphasize this appreciation of the frequent failure of innovation because it alerts us to the need for experimentation both to secure the gains already made and to identify the successful ventures. Ideas are easy to come by in social areas, but hard, expensive, and risky to introduce on a broad scale, and hence the necessity for realistic appraisal based on sound experimental procedures.

In addition, verifying that ideas work, finding when they work, and training people to make them work, are also hard and expensive. For example, Skinnerian training programs for young children attract investigators in many areas of education, as well they should. The descriptions of Hamblin *et al.* (1969) in teaching young abnormally aggressive children and autistic children are on the one hand most encouraging, but on the other illustrate how hard it is to train teachers and mothers in this skill. Even after training, the responses required are hard to choose and execute. Consequently, hidden observers had to use radios to direct the teachers and mothers, who received their instructions through small earplug receivers. We need to see whether other investigators can make the process work, whether the cures can be maintained through the years, and whether aggression is reduced by persons untrained in handling the children, as well as for those who are. One can readily see the great need for repeating and extending such promising experiments, and one can also see that the verification will be costly. But preventing individuals from spending their lives in prison or in an asylum offers society financial rewards as well as satisfaction.

♦ *Experimentation Without Regimentation*

If we are to find out whether some new ideas do produce a substantial gain, then we shall have to be prepared to measure the effects carefully. And this means experimentation. We need to know where we instituted what programs, and where what others, and then we need to find out what was achieved. This is the main feature of experimentation. The programs need to be introduced randomly, or nearly so in a large variety of places. One way is to find a number of places that are willing to introduce either of a pair of new programs and then randomly assign the program. If the school or the school district has agreed to take the one that it is assigned of the two, and if the school is offered some financial support for it, then the school will be encouraged to institute the program assigned to it. If it is a wild success, compared to its competitor, very likely others will want it, too.

We need to make clear here that it is not necessary to press distasteful experiments down the throats of reluctant school-board members. Experimentation can be a most attractive thing, and most of what are regarded as the best schools do experimentation in the sense of innovation. But usually only in the sense that Princeton's Harold Gulliksen deprecates when he says, "They didn't use any controls because it was only an experiment."

Experimentation, then, is not distasteful but attractive when properly considered. It is not necessary for us to impose new treatments on some schools and withhold them from others. We can in principle offer new treatments to many schools in the same experimental system. It is only necessary that a reasonable number of institutions be willing to institute either one of a pair of programs.

Naturally, we are not proposing that there be large-scale experimentation on programs that have not been carefully worked out and that don't have promise. We all understand that new therapies have their preliminary tryouts before moving into practical programs. What we are pressing is that when they move into large-scale use, they be assessed, given a fair chance to show their worth, and expanded if they work, revised if they don't.

◆ *Educational Goals*

In improving the atmosphere for educational experimentation, we will find ourselves regimented in a different way. We have to know just what it is that we want improved. The ambitious goal of creating a modern version of the Renaissance Man is not going to be successfully met by any program. If we want something better than we have now, we need to specify it and key our program to accomplishing it. (See Henry Dyer's article.) We seldom make progress of much account in unexpected directions. It is hard enough to make gains in directions we are working toward. If we want verbal facility improved, then we should make that clear and concentrate on that. If we want to combat prejudice, then let's make very clear what it is that we want taught and see how effective we are at communicating it. If we teach Latin in hope that it will improve our English vocabulary, then we must spend plenty of time on this latter aspect, and we can expect less Latin to be learned. Similarly, let's not teach logic or mathematics to discipline our minds, let's teach mathematics in hope that the student will learn mathematics. Perhaps team sports can teach the need for teamwork. Construe nothing in the above to suppose that the authors have any specific subject or goal they wish to push as far as the general experimental program is concerned; rather, we are discussing some of the atmosphere that is required if we are to try to develop a systematic effort at improving schools. We believe that experimentation may be part of the answer.

Dyer discusses the educational goals set by a commission for the Commonwealth of Pennsylvania. The general attitude is that every student should make the most of himself in every possible direction. Without restriction, this set of goals is not achievable. Given the limitations of the 24-hour day, no one can make the most of himself in many directions. The most that he can hope to do is to achieve some minimum goals in a number of desirable directions and then distribute the rest of his effort in ways that he, his parents, his teacher, the school, the state, and the nation find rewarding.

Setting many desirable maxima makes it hard to know what program might possibly lead to achievement of the goals. A well-known mathematical theorem states that one cannot ordinarily maximize two or more variables simultaneously. Consequently, it would be vain to hope to maximize the achievement of each child in several different subjects. If we set minimum standards to be achieved by each group, we can offer goals capable of achievement, while leaving time for individual preferences and excellences.

◆ *The Hawthorne Effect*

Some will have heard of the Hawthorne effect and be worried about it in the presence of all the innovations being discussed. Since this is the most widely cited effect in the field of social science according to David Sills, editor of the new *International Encyclopedia of the Social Sciences*, let us take a moment to deal with it. It is true that if a program is introduced and if people like the idea of participating in the experiment, then they will respond well. That is, people respond well to attention. This effect, apart from any intended effect of the program itself, is called the Hawthorne effect. It is analogous to the placebo effect in medicine which is the relief given the patient by a pill or a treatment having no medicinal value. The existence of these effects is well documented and at least in the case of the placebo has been frequently measured with repeatable results on many populations of patients. Beecher (1959) reports about 35 percent of patients were satisfactorily relieved of severe postoperative wound pain by a placebo, and a similar percentage were relieved of other discomforts in other conditions (headache, pain from angina pectoris, cough, cold, anxiety and tension). What then shall we say of experimental programs subject to such effects? We say that it is important that they be compared with competing experimental programs. Then the portion having to do with the Hawthorne effect will presumably be somewhat comparable.

SUMMARY. The United States has rarely studied the educational process at a national level. Consequently, when the Coleman Report offered, on a large scale, measures of performance for various groups of pupils, educational critics, both pro and con, attacked this fresh meat enthusiastically, having little else to get their teeth into. Although the Coleman Report gives a fine start by illustrating the need for and value of large-scale investigations, we must think of it as a *first* study—not last, not definitive.

After figuring out what immediate actions may be sensible in view of the Coleman Report, we must resolve not to freeze these policies but to prepare for the long run by mounting systematic large-scale research programs. Furthermore, we can begin thinking of research, including experimentation, in education as a necessary continuing process, just as it is for many other important national institutions.

If we are to improve the educational system, we need to acquire a different attitude toward experimentation and to develop new facilities for large-scale experimentation. We do not have such facilities now. Inevitably many experimental programs will fail because the gain from improving a program is small compared to that from starting it. Nevertheless, if we want to improve educational methods we shall need experimental evaluation, the more so because few new programs will make material improvements. At the same time we must clarify our goals, since we can hardly expect that any program will improve many aspects of a school's educational output.

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Senator Mondale. Is that out of California?

Mr. Ottina. California is included. It is more than California.

Senator Mondale. That is about a year old, is it not?

Mr. Weinberger. Yes, I think it is April 1972.

Senator Mondale. Now, as I understand it, we also spend under the President's budget about $1.5 billion through this particular critical mass strategy, is that correct? Is that about right?

Mr. Ottina. $1.5 billion.

Senator Mondale. Exclusive of handicapped and vocational rehabilitation support services?

Mr. Weinberger. Right.

Senator Mondale. That would reach roughly, I guess, about 55 percent of the estimated need. Suppose you get $1½ billion and you have an estimated 7½ million children who need the help, how does your bill make the decision as to who is going to get the money?

Mr. Weinberger. It utilizes these formulas that we have described and the new census data to pick out the approximately two-thirds of the children in that area who will have this additional Federal funding behind them. This is not to say, as someone who did not listen carefully might imply from your question, that the other children are not getting anything. They certainly are. What this is is special extra additional Federal funding for approximately two-thirds of the total who would be eligible under these formulas. The formula we would use would be a formula which attempts to find—to look at the size of the family, to look at the income, of course, to look at the number of other factors, such as geographical location, the employment within that area, a whole range of other matters that we have not previously considered in trying to interpret——

Senator Mondale. Who would decide within a State how that new title I type money is going to be allocated?

Mr. Weinberger. We would have the formulas which the State would apply.

Senator Mondale. I think you have a chart on that.

Mr. Ottina. Actually the formula itself would, as you say, decide because the State is required under this plan to first find all of the priority districts and that would be those districts which meet one of these two criteria; namely, 5,000 children who are defined in this category.

Senator Mondale. Let me take the first step. How much, for example, does Connecticut get? Does it get the ratio of $1½ billion that the educationally and disadvantaged children from Connecticut bear to the total population?

Mr. Ottina. With one proviso, that is, that the dollar amount average expenditures is taken into account, so that there would be a proration affecting not only numbers but dollars spent.

Senator Mondale. That is calculated on the basis of what—two-thirds? It is half of what they spend or two-thirds of the national average, whichever is higher?

Mr. Ottina. Two thirds of what they spend or two thirds of the national average, 35 percent of two-thirds of the National average, whichever is higher.

Mr. Weinberger. The figures we have in Connecticut, Senator, are that they would get $13,063,000 under the existing law in 1973, and they would get $13,263,000 under the Better Schools Act in fiscal year 1974.

Senator **Mondale**. Would you submit a State-by-State breakdown for the record?

Mr. **Weinberger**. We had already agreed to do that.

[The information subsequently supplied follows:]

COMPARISON 1973 VERSUS EDUCATIONAL REVENUE SHARING 1974

	Disadvantaged		SAFA		Handicapped		Vocational education		Support		Total	
	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing
DISTRIBUTION OF 3 PERCENT TO ALL OTHER AREAS												
Alabama	27, 540	38, 062	1, 238	845	2, 295	2, 840	3, 865	7, 632	10, 663	7, 277	60, 571	56, 655
Alaska	2, 781	2, 846	23, 594	16, 555	1, 191	268	884	721	958	685	20, 490	21, 076
Arizona	10, 413	10, 639	10, 989	10, 160	1, 217	1, 478	4, 334	2, 917	3, 805	3, 787	30, 667	30, 034
Arkansas	23, 122	23, 442	1, 581	1, 048	1, 724	1, 514	4, 880	4, 070	6, 056	3, 880	37, 303	33, 855
California	126, 309	128, 142	34, 469	31, 608	9, 909	15, 213	35, 465	50, 886	25, 534	38, 984	132, 686	254, 833
Colorado	12, 167	12, 376	3, 551	2, 947	2, 094	1, 792	5, 254	4, 815	4, 482	4, 591	27, 548	26, 620
Connecticut	13, 063	13, 263	2, 009	1, 745	2, 368	2, 340	5, 032	6, 289	4, 670	5, 996	27, 152	29, 634
Delaware	2, 918	2, 980	14	17	85	454	, 3 5	1, 220	1, 487	1, 163	6, 585	5, 835
Florida	24, 727	25, 569	6, 977	6, 953	4, 229	4, 899	14, 062	13, 167	13, 943	12, 555	72, 938	73, 153
Georgia	43, 818	44, 500	2, 153	1, 770	2, 858	3, 726	11, 460	10, 015	14, 198	9, 549	74, 477	69, 560
Hawaii	4, 068	4, 137	8, 571	10, 185	651	622	1, 801	1, 670	2, 285	1, 593	17, 375	18, 007
Idaho	3, 697	3, 749	1, 490	1, 039	610	606	2, 099	1, 630	1, 944	1, 554	9, 873	8, 578
Illinois	74, 316	79, 309	5, 532	4, 669	7, 944	8, 711	18, 982	23, 411	17, 935	22, 322	124, 708	134, 510
Indiana	20, 537	20, 885	1, 212	1, 035	4, 055	4, 220	11, 157	11, 341	10, 227	10, 814	47, 189	48, 295
Iowa	16, 814	16, 408	210	113	1, 863	2, 261	6, 248	6, 076	8, 696	5, 793	31, 198	30, 651
Kansas	10, 247	10, 430	5, 163	4, 544	1, 959	1, 740	5, 055	4, 676	4, 621	4, 458	27, 045	25, 848
Kentucky	34, 353	34, 672	96	71	2, 136	2, 569	8, 344	6, 903	9, 425	6, 582	54, 352	50, 908
Louisiana	33, 883	34, 676	875	802	3, 581	3, 166	9, 582	8, 508	12, 248	8, 221	60, 170	55, 267
Maine	6, 330	6, 423	2, 190	1, 761	987	789	2, 683	2, 121	2, 487	2, 022	14, 622	13, 116
Maryland	21, 668	22, 083	5, 797	5, 923	2, 765	3, 160	7, 613	8, 492	6, 244	8, 097	44, 068	47, 754
Massachusetts	26, 521	26, 897	5, 852	3, 588	5, 011	4, 284	10, 521	11, 5[illegible]	10, 381	10, 968	58, 286	57, 260
Michigan	59, 373	60, 144	4, 091	4, 360	8, 008	7, 456	17, 577	20, 03[illegible]	13, 926	19, 105	102, 975	111, 103
Minnesota	23, 882	24, 241	1, 459	1, 514	2, 606	3, 199	8, 303	8, 598	8, 598	8, 765	8, 198	45, 761
Mississippi	39, 299	39, 839	1, 555	935	1, 537	1, 932	5, 930	5, 192	8, 302	4, 950	56, 623	52, 848
Missouri	25, 392	35, 841	2, 869	2, 455	3, 564	3, 601	10, 006	9, 670	9, 316	9, 220	15, 174	50, 865

Montana	4, 125	4, 197	5, 126	3, 694	684	597	1, 970	1, 605	1, 720	1, 530	[illegible]	[illegible]
Nebraska	7, 942	8, 076	3, 293	2, 435	976	[illegible]	3, 463	3, 169	3, 393	3, 022	[illegible]	[illegible]
Nevada	1, 228	1, 259	2, 326	2, 124	448	384	1, 124	1, 032	984	984	[illegible]	[illegible]
New Hampshire	2, 254	2, 334	1, 101	736	723	576	1, 887	1, 548	1, 760	1, 476	7, 764	[illegible]
New Jersey	48, 987	49, 623	5, 695	4, 985	6, 021	[illegible]	11, 663	14, 707	9, 742	14, 023	82, 105	[illegible]
New Mexico	9, 148	3, 348	11, 387	9, 449	850	945	2, 904	2, 538	3, 096	2, 420	27, 385	24, 700
New York	213, 429	216, 246	8, 795	7, 242	14, 678	13, 269	28, 451	35, 661	28, 623	34, 003	291, 977	306, 421
North Carolina	56, 781	57, 468	2, 270	1, 774	4, 319	4, 028	[illegible]	10, 825	15, 384	10, 322	92, 286	84, 417
North Dakota	5, 127	5, 185	4, 981	3, 025	657	533	1, 897	1, 433	1, 983	1, 366	14, 645	11, 556
Ohio	46, 538	47, 289	1, 690	1, 637	8, 523	8, 583	21, 453	23, 067	17, 831	21, 994	96, 036	102, 571
Oklahoma	18, 654	18, 929	5, 660	3, 877	1, 759	1, 847	6, 324	5, 232	5, 890	4, 989	38, 286	34, 975
Oregon	11, 071	11, 257	1, 425	1, 043	1, 936	1, 627	4, 796	4, 373	4, 092	4, 169	23, 320	22, 469
Pennsylvania	69, 630	70, 627	1, 063	1, 013	9, 256	[illegible]	23, 500	23, 927	21, 191	22, 814	124, 640	124, 285
Rhode Island	5, 261	5, 345	2, 894	2, 539	897	[illegible]	2, 251	1, 834	1, 663	1, 749	12, 956	12, 160
South Carolina	32, 866	33, 293	2, 972	2, 171	2, 257	2, 191	7, 304	5, 888	8, 825	5, 614	54, 224	49, 156
South Dakota	6, 053	6, 120	4, 604	3, 297	746	570	1, 976	1, 531	2, 024	1, 460	15, 383	12, 978
Tennessee	34, 295	34, 739	664	470	2, 616	3, 050	9, 991	8, 197	10, 532	7, 816	58, 036	54, 272
Texas	87, 258	88, 782	11, 704	8, 407	8, 226	9, 128	26, 106	24, 558	22, 224	23, 415	155, 518	154, 306
Utah	4, 640	4, 714	1, 958	1, 657	927	951	3, 150	2, 555	3, 326	2, 436	14, 001	12, 312
Vermont	2, 506	2, 544	6	7	916	356	1, 359	958	1, 249	914	6, 036	4, 778
Virginia	35, 203	35, 773	7, 050	5, 818	3, 269	3, 647	11, 049	9, 802	10, 763	9, 346	67, 334	64, 386
Washington	16, 081	16, 339	7, 708	7, 578	2, 600	2, 678	7, 120	7, 198	5, 575	6, 863	39, 084	40, 656
West Virginia	18, 394	19, 641	35	30	1, 256	1, 347	4, 586	3, 619	4, 690	3, 451	29, 961	2, 0884
Wisconsin	19, 161	19, 517	976	615	3, 681	3, 659	9, 805	9, 834	8, 167	9, 377	41, 790	43, 002
Wyoming	1, 562	1, 594	1, 824	1, 226	487	280	1, 083	753	1, 068	718	6, 024	4, 572
District of Columbia	11, 185	11, 341	222	280	1, 102	500	1, 606	1, 343	1, 518	1, 280	15, 633	14, 744
All others	47, 155	46, 271	2, 133	1, 018	2, 919	4, 946	8, 513	13, 293	11, 031	12, 675	71, 753	78, 304
Total	1, 524, 061	1, 545, 711	231, 998	194, 794	158, 744	164, 878	437, 173	443, 110	418, 976	422, 501	2, 770, 949	2, 770, 992

COMPARISON 1973 VERSUS EDUCATIONAL REVENUE SHARING 1974—Continued

	Disadvantaged		SAFA		Handicapped		Vocational education		Support		Total	
	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing	1973	Revenue sharing
DISTRIBUTION OF 3 PERCENT TO ALL OTHER AREAS												
Alabama	37,500	37,392	1,242	913	2,296	2,823	8,865	7,586	10,663	7,233	60,571	55,945
Alaska	2,781	4,269	24,594	17,879	1,191	−267	884	716	958	683	10,409	23,813
Arizona	10,413	15,012	10,898	10,972	1,217	1,469	4,334	3,947	3,805	3,764	10,667	35,165
Arkansas	23,122	21,314	1,581	1,132	1,724	1,505	4,880	4,045	6,056	3,857	37,163	31,853
California	126,309	122,037	34,469	34,137	9,909	15,121	35,465	40,638	25,534	38,748	231,686	250,681
Colorado	12,167	13,887	3,551	3,163	2,094	1,781	5,254	4,786	4,482	4,563	27,548	28,200
Connecticut	13,063	13,919	2,009	1,885	2,368	2,326	5,032	6,251	4,670	5,960	27,142	29,741
Delaware	2,919	4,152	14	18	851	351	1,315	1,213	1,487	1,156	6,585	6,990
Florida	34,727	53,354	6,977	7,909	4,229	4,870	14,062	13,087	13,943	12,479	73,938	91,298
Georgia	43,818	45,414	2,143	1,911	2,858	3,704	11,460	9,954	14,198	9,491	74,477	70,474
Hawaii	4,068	4,597	8,571	11,000	651	618	1,801	1,660	2,285	1,583	17,375	19,458
Idaho	3,697	3,463	1,490	1,123	610	603	2,099	1,620	1,977	1,544	9,873	8,353
Illinois	74,316	71,914	5,532	5,043	7,944	8,658	18,982	23,269	17,935	22,187	124,708	131,072
Indiana	20,537	23,166	1,212	1,118	4,055	4,194	11,157	11,272	10,227	10,748	47,189	50,500
Iowa	16,184	14,920	210	122	1,863	2,247	6,246	6,[illegible]39	6,696	5,758	31,198	29,087
Kansas	10,247	12,180	5,163	4,908	1,959	1,729	5,055	[illegible]47	4,621	4,431	27,045	27,895
Kentucky	34,353	28,652	96	77	2,136	2,553	8,344	6,[illegible]61	9,425	6,542	54,354	44,685
Louisiana	32,883	52,018	975	866	3,581	3,147	9,582	8,456	12,248	8,063	60,170	72,551
Maine	6,330	6,174	2,190	1,902	987	784	2,638	2,108	2,457	2,010	14,632	12,978
Maryland	21,668	27,637	5,797	6,397	2,765	3,141	7,613	8,440	6,244	8,048	44,086	53,662
Massachusetts	26,521	25,837	5,852	3,875	5,011	4,258	10,521	11,443	10,381	10,911	58,286	55,524
Michigan	59,373	51,345	4,091	4,709	8,008	7,411	17,577	19,916	13,926	18,990	102,915	102,371
Minnesota	23,883	23,335	1,459	1,636	2,606	3,180	8,303	8,546	8,764	8,148	45,015	45,345
Mississippi	39,299	35,963	1,555	1,010	1,537	1,920	5,930	5,160	8,302	4,920	56,623	48,973
Missouri	25,392	29,923	2,869	2,651	3,564	3,580	10,006	9,620	9,316	9,173	51,147	54,947
Montana	4,125	4,803	5,126	3,990	684	594	1,970	1,595	1,720	1,521	13,625	12,503
Nebraska	7,942	8,893	3,293	2,630	976	1,172	3,463	3,150	3,393	3,003	19,067	18,848

Nevada	1, 228	1, 388	2, 326	2, 294	448	382	1, 124	1, 026	984	978	6, 111	6, 567
New Hampshire	2, 294	2, 641	1, 101	794	723	572	1, 887	1, 538	1, 760	1, 467	7, 764	7, 013
New Jersey	48, 987	42, 336	5, 695	5, 384	6, 021	5, 439	11, 663	14, 618	9, 742	13, 938	82, 108	81, 714
New Mexico	9, 148	10, 304	11, 387	10, 205	850	939	2, 904	2, 523	3, 096	2, 406	27, 385	29, 377
New York	313, 429	187, 523	6, 795	7, 821	14, 678	13, 189	28, 451	35, 445	28, 623	33, 797	291, 977	277, 775
North Carolina	56, 781	45, 742	2, 270	1, 916	4, 319	4, 004	13, 532	10, 760	15, 384	10, 259	92, 286	72, 681
North Dakota	5, 127	4, 496	4, 981	3, 271	657	530	1, 897	1, 424	1, 983	1, 358	14, 645	11, 080
Ohio	46, 538	49, 903	1, 690	1, 768	8, 523	8, 531	21, 453	22, 927	17, 831	21, 861	96, 036	105, 081
Oklahoma	18, 654	18, 313	5, 660	4, 187	1, 759	1, 935	6, 324	5, 201	5, 890	4, 959	38, 286	34, 595
Oregon	11, 071	12, 380	1, 425	1, 127	1, 936	1, 617	4, 796	4, 346	4, 092	4, 144	23, 320	23, 615
Pennsylvania	69, 630	66, 405	1, 063	1, 094	9, 256	8, 849	23, 500	23, 782	21, 191	22, 676	124, 640	122, 806
Rhode Island	5, 261	5, 588	2, 884	2, 742	897	678	2, 251	1, 823	1, 663	1, 738	12, 956	12, 570
South Carolina	32, 866	28, 406	2, 972	2, 345	2, 257	2, 177	7, 304	5, 852	8, 825	5, 580	54, 224	44, 400
South Dakota	8, 033	5, 822	4, 604	3, 560	746	566	1, 976	1, 522	2, 024	1, 451	15, 383	12, 922
Tennessee	34, 233	33, 695	664	508	2, 616	3, 031	9, 991	8, 147	10, 532	7, 768	58, 036	53, 150
Texas	87, 258	101, 908	11, 704	9, 080	8, 226	9, 082	26, 106	24, 409	22, 224	23, 273	155, 518	167, 752
Utah	4, 640	4, 899	1, 958	1, 789	927	945	3, 150	2, 539	3, 326	2, 421	14, 001	12, 594
Vermont	2, 506	2, 501	6	7	916	354	1, 359	952	1, 249	908	6, 036	4, 723
Virginia	35, 203	37, 957	7, 050	6, 284	3, 269	3, 625	11, 049	9, 742	10, 763	9, 289	67, 334	66, 898
Washington	16, 081	17, 177	7, 708	8, 185	2, 600	2, 662	7, 120	7, 154	5, 675	6, 821	39, 034	41, 999
West Virginia	19, 394	18, 415	35	33	1, 256	1, 339	4, 586	3, 597	4, 690	3, 430	29, 961	24, 814
Wisconsin	19, 161	23, 671	976	664	3, 681	3, 637	9, 805	9, 775	8, 167	9, 320	41, 790	47, 067
Wyoming	1, 562	2, 134	1, 824	1, 324	487	279	1, 083	749	1, 068	714	6, 024	5, 200
District of Columbia	11, 185	10, 382	222	302	1, 102	497	1, 606	1, 335	1, 518	1, 273	15, 633	13, 788
All others	47, 155	46, 091	2, 133	1, 100	2, 919	4, 916	8, 513	13, 213	11, 032	12, 598	71, 753	77, 918
Total	1, 524, 061	1, 536, 371	231, 998	210, 378	158, 744	163, 879	437, 173	440, 426	418, 976	419, 941	2, 770, 949	2, 770, 992

TITLE I LOW-INCOME CHILDREN (UNDER $2,000 ON 1960 CENSUS OR OVER $2,000 ON AFDC (1973))

State	Total low-income children (thousands)	Over $2,000 on AFDC (thousands)	AFDC as percent of total
Alabama	246.5	1.1	0
Alaska	10.1	4.7	46.5
Arizona	58.1	17.6	30.2
Arkansas	150.0	0	0
California	796.7	561.0	70.4
Colorado	73.1	37.3	51.0
Connecticut	71.5	47.1	65.9
Delaware	14.2	5.7	40.1
Florida	172.6	25.5	14.8
Georgia	289.5	46.0	15.9
Hawaii	23.1	13.9	60.2
Idaho	19.3	6.6	34.2
Illinois	430.0	270.4	62.9
Indiana	134.0	51.1	38.1
Iowa	103.6	29.1	28.1
Kansas	65.3	23.0	35.2
Kentucky	229.8	32.3	14.1
Louisiana	223.6	18.8	8.4
Maine	40.2	19.7	49.0
Maryland	120.7	59.4	49.2
Massachusetts	170.9	118.7	69.5
Michigan	327.0	194.1	59.4
Minnesota	127.4	45.1	35.4
Mississippi	256.3	0	0
Missouri	166.8	37.1	22.2
Montana	20.4	5.6	27.5
Nebraska	51.3	15.8	30.8
Nevada	6.3	2.4	38.1
New Hampshire	14.1	6.7	47.5
New Jersey	239.2	170.9	71.4
New Mexico	52.8	14.0	26.5
New York	812.1	566.0	69.7
North Carolina	367.9	39.1	10.6
North Dakota	29.3	5.2	17.7
Ohio	301.7	137.8	45.7
Oklahoma	118.8	30.4	25.6
Oregon	54.1	26.3	48.6
Pennsylvania	438.6	246.9	56.2
Rhode Island	31.4	18.3	58.3
South Carolina	213.0	4.6	2.2
South Dakota	39.0	6.5	16.7
Tennessee	223.1	0	0
Texas	483.8	79.3	16.4
Utah	27.7	15.0	54.2
Vermont	14.8	6.3	42.6
Virginia	224.9	50.1	22.3
Washington	92.4	53.5	57.9
West Virginia	123.6	14.5	11.7
Wisconsin	112.0	46.7	41.7
Wyoming	7.9	2.2	27.8
District of Columbia	55.5	39.6	71.4
Total	8,400,000.0	3,300,000.0	39.3

ALLOCATIONS FOR EDUCATION OF DISADVANTAGED

[In thousands]

State	Title I—Current allocation fiscal year 1973 minus handicapped set-aside—1960 census	Title I—Updated allocation current formula—1970 census	Better Schools Act—Disadvantaged earmark proposed formula—1970 census
Alabama	37,500	20,028	37,392
Alaska	2,781	4,302	4,269
Arizona	10,413	11,745	15,012
Arkansas	23,122	11,958	21,314
California	126,309	161,948	122,037
Colorado	12,167	14,843	13,887
Connecticut	13,063	18,190	13,319
Delaware	2,918	3,820	4,152
Florida	34,727	37,126	53,354
Georgia	43,818	28,259	45,414
Hawaii	4,068	4,944	4,597
Idaho	3,697	3,911	3,453
Illinois	74,316	88,191	71,914
Indiana	20,537	21,689	23,166
Iowa	16,184	11,154	14,920
Kansas	10,247	10,673	12,180
Kentucky	34,353	20,233	28,652
Louisiana	33,883	28,625	52,018
Maine	6,330	6,773	6,174
Maryland	21,668	26,204	27,636
Massachusetts	26,521	35,666	25,037
Michigan	59,373	69,609	51,345
Minnesota	23,883	19,604	23,835
Mississippi	39,299	20,167	35,963
Missouri	25,392	21,334	29,923
Montana	4,125	4,027	4,803
Nebraska	7,942	6,922	8,893
Nevada	1,228	1,754	1,888
New Hampshire	2,294	2,958	2,641
New Jersey	48,987	64,704	42,336
New Mexico	9,148	9,468	13,304
New York	213,429	272,966	187,523
North Carolina	56,781	31,399	45,742
North Dakota	5,127	3,757	4,496
Ohio	46,538	54,278	49,993
Oklahoma	18,654	15,104	18,313
Oregon	11,071	13,524	12,380
Pennsylvania	69,630	78,028	66,405
Rhode Island	5,261	6,428	5,588
South Carolina	32,886	16,898	28,446
South Dakota	6,033	4,122	5,822
Tennessee	34,233	17,756	33,695
Texas	87,258	74,322	101,908
Utah	4,640	5,620	4,899
Vermont	2,506	2,962	2,501
Virginia	35,203	26,018	37,957
Washington	16,081	20,822	17,177
West Virginia	19,394	10,729	16,415
Wisconsin	19,161	21,146	23,671
Wyoming	1,562	1,721	2,134
District of Columbia	11,185	14,347	10,382
All others	47,155	46,989	46,091
Total	1,524,061	1,530,000	1,536,371

Senator **Mondale**. Also including anticipated allocations under your proposal and for the next, say, 2 years, so we can get a picture of the next census data——

Mr. **Weinberger**. This is the 1970 census date we would be using.

Senator **Mondale**. All right. Give us the amount that was given under the last year under title I and the amount that would go to the States under the first year of this program using the 1970 census. Can that be done?

Mr. **Marland**. As you will recall Dr. Ottina's testimony, that 1974 would be at 100 percent of 1973 and 1975 would be the year that a formula would take over, if that is agreeable.

Senator **Mondale**. Could we have 1975 too so we can see how the new formula works?

Mr. **Weinberger**. 1975 of course you would have to assume what your total is going to be for 1975, and the 1975 figure that we give you would have to assume an existing total.

Senator **Mondale**. Is there a Presidential budget request for 1975?

Mr. **Weinberger**. No.

Senator **Mondale**. Do you have something that you could work on as a guestimate?

Mr. **Ottina**. May I suggest perhaps we could use 1974 without hold harmless.

Senator **Mondale**. That would be fair.

Mr. **Marland**. That would be a more true and measurable figure.

Mr. **Weinberger**. That is the one I used in giving you Connecticut, and in Minnesota it also goes up.

Senator **Mondale**. That is the State allocation. How is this broken down then between districts within a State? You have a formula which would prefer school districts with concentrations of 5,000 or more?

Mr. **Ottina**. 5,000 or 15 percent or more, yes, sir.

Senator **Mondale**. Isn't that like the Murphy amendment? We adopted the Murphy amendment but applied it to everything over $1½ billion of which there was nothing.

Have you got this broken down within a State like Minnesota and other States so we could see how this money would flow? I think our concern is we felt that under the 5,000 formula—even though it makes a lot of sense, fully funded—there are a number of States with predominantly rural districts that cannot get up to this and that in many of our States much of the property is found in smaller rural communities.

Mr. **Weinberger**. The 15 percent I think takes care of this concern, Senator.

Mr. **Ottina**. We do have some preliminary indications of the State of Minnesota.

Senator **Mondale**. If we could get some tables on that.

Mr. **Weinberger**. I think we have some early returns, and we would be glad to produce those. Eventually we will have a full breakdown for each school district. It is quite a task, but we are I think able to provide some preliminary data.

Senator **Mondale**. We spent about a week thrashing this around when we marked up title I last time, and it was a very long and arduous struggle.

Mr. **Weinberger**. It can be done.

[The information referred to had not been supplied when this hearing volume went to press.]

Senator **Mondale**. If we can see the figures, it would give us a chance to see what you propose to do.

What is the 7½ million estimated need based on? I assume it is some BLS figure. What is that figure?

Mr. **Ottina**. It is based upon the definition which I referred to earlier, which is the Orshansky definition of poverty using the 1970 census data. It takes into account, as I commented earlier the number of children in a family as well as accounting for a rural and urban differential.

Senator **Mondale**. Is that basically $4,000 for a family of four?

Mr. **Marland**. Basically $4,000 for a family of four in an urban location.

Senator **Mondale**. You have in there what appears to be alternative distribution based, I assume, upon testing of children who are underachieving, regardless of economics. Have I got that right?

Mr. **Marland**. Not quite, but almost. The formula which Dr. Ottina displayed calls primarily for distribution to States, and that establishes the State's revenues under this program, based upon Orshansky. Once the State receives its money, there may be ways other than Orshansky for distributing it if they wish to use those other ways. One way that has been suggested——

Senator **Mondale**. Who decides that, the State?

Mr. **Marland**. The State.

Mr. **Ottina**. Let me correct one aspect. Our present proposal as it now stands requires distribution from the State to the local education agency. The discretion takes place at local education agency level, as it distributes among schools in the district. There is an alternative, the scheme such as Dr. Marland was suggesting, where you might change that philosophy and apply that at the State level.

Senator **Mondale**. I think that is what Congressman Quie has been talking about, an economic formula combined with a formula of underachievement——

Mr. **Weinberger**. His idea is, Senator, that you do not find educational disadvantaged co-extensive with poverty areas, that you get some educationally disadvantaged people who may come from very wealthy regions, and he wants to do it on an education testing basis.

Senator **Mondale**. Does your formula permit a State or local school district to in effect ignore the poverty income formula and substitute for it a test of some kind to determine underachievement and distribute all of its money on that basis instead?

Mr. **Marland**. Let me correct what I stated a moment ago, that responds again to that, I think. The State receives the money according to poverty index. The State distributes that money to local school districts on that poverty index, but at that point our proposal would afford the local school districts other than the poverty index the means for distributing those moneys provided they accomplish the concentrations that we are asking for.

Senator **Mondale**. In other words, the money that a school district gets is based on the economic formula, but that school district can decide to change the distribution of services within the school district in the way that it delivers services for children who, under testing, prove to be underachieving, regardless of economic standards.

Mr. **Marland**. That is correct, or any other acceptable formula to the Secretary. We hold with all respect to Mr. Quie's proposal, that there will be a high correspondence between poverty and low achievement, and that our evidence so far would push us that way.

Yet we can say in some communities there may be very good reasons for using educationally low level students as criteria for the distribution, which would be allowed.

Mr. **Weinberger**. We think Congressman Quie has an interesting point, and will consider it, not only consider it, but are in discussions with him about ways of doing it.

Senator **Mondale.** Are you working out testing procedures——

Mr. **Weinberger.** That is one of the problems.

Senator **Mondale.** As I understand your alternative distribution program, have you defined it in a way——

Mr. **Weinberger.** Four States, as I understand it, have some kind of programs underway. There is a reading factor which certainly comes into it, a simple achievement factor, ability to learn, these things can be measured reasonably well. Dr. Marland has more details on it.

Mr. **Marland.** This is indeed as the Secretary says part of the problem of having what might appear at first glance to be a Federal testing system.

We do not propose that, Senator. We do propose that there be some leeway at the local level for that board of education, for that community to determine how it shall distribute those moneys, provided it does meet the criteria we are asking, namely, critical mass effect on the slow learners or nonachievers.

Senator **Mondale.** Could you submit for the record as precisely as you can what kind of conditions you might require of a school district which determines to spend its money in that alternative way?

Mr. **Weinberger.** Yes, we can.

Senator **Hathaway.** I wonder if you would yield. Do you mean a local school division could get $20,000 distributed under the economic aspect of the formula, and then take the four lowest achievers and give them $5,000 apiece? You said they could distribute money on the basis of achievement tests, but it does not say where along the achievement scale they have to draw the line. Could they give the $20,000 to one child?

Senator **Mondale.** That would be critical mass.

Mr. **Weinberger.** We think that there can be developed along the lines that Congressman Quie is talking about the ability to utilize a testing formula to determine whether there are any substantial amounts of educationally disadvantaged among people who are not economically disadvantaged. We certainly would feel that the largest number of the educationally disadvantaged, are people who are in the poverty areas, and we would not want to dilute all of the available Federal funds designed to reach this specific group by any set blanket sort of application.

We do think there is a high degree of correspondence, between economic status and educational achievement, but, I also think that Congressman Quie has a point that there may well be some situations in which a person who is not economically disadvantaged is educationally disadvantaged. The point that I made to him in the House hearing is that a person from a family of that kind has more of an ability to do something about it, and therefore is less in need of the Federal reinforcement.

Senator **Mondale.** The only thing, you see, this is a fundamental new theory being ingrafted on the old title I theory, which would permit a whole different way of allocating funds. I think the committee would want to know as precisely as possible what standards you would establish and what kind of critcal mass minimums or ceilings you might establish. We have had some of these problems in Indian education, where some Indian school districts, with white and Indian kids, have gotten money, and spent it on the other side of town.

You could have a theoretical situation—I do not think it would happen in most cases—where the school district would be dominated by the better part of town, would get money, based on the poor kids, and then spend it on some other formula on the other side.

Mr. **Weinberger.** The point that has to be kept in mind, that is the point that Congressman Quie made, is that it is not technically a program for the economically disadvantaged. It is a program for the educationally disadvantaged. He makes the point that there is not necessarily any correspondence. We are trying to work with him to see if there is not some kind of testing we can develop.

But, as I said, the point I made to him, and I think it is a valid point, is that if there is in the person who is not economically disadvantaged—if there is an educational disadvantage—that person is better able to do something about it than someone who comes from a poverty area. So there is more of a justification for putting more emphasis on this aspect of the program. That is what we are trying to do.

Senator **Mondale.** If we could have a definition, as precise as you could make it, I think we would all like to look at it. Maybe we could obtain some computer printouts about how it might work if that is possible.

Mr. **Marland.** We will try to respond to that, Senator Mondale. Let me offer the concern that this of course has not yet reached the point of drafting regulations for it. We would still be speculating as to a general idea as distinct from a specific formulation, and I am reluctant to overpromise in response to your request. We will give you all we can in terms of our perception of this alternative at the local level.

In other words, we may not have useful printouts for you promptly that can make this as clear as we would like it to be at this stage.

Senator **Mondale.** I have already taken more time than I should. I will just state as a proposition that I think there are many of those specific titles that you propose to terminate—like title V and the libraries program and some of the others, handicapped, bilingual education, follow-through, et cetera—have been remarkably successful, and I hope that you would have some willingness to compromise with the committee as you take a look at that.

Mr. **Ottina.** In your deliberation you named two programs which are not proposed, bilingual education and follow through.

Senator **Mondale.** But there are cuts proposed in those programs.

Mr. **Ottina.** Not in bilingual education.

Mr. **Marland.** Bilingual education is not included in this program.

Senator **Mondale.** Bilingual education is cut, right?

Mr. **Marland.** No.

Senator **Mondale.** Unless you count emergency school aid.

Mr. **Marland.** No, sir. Emergency school aid would be an add-on.

Senator **Mondale.** Forty-one to thirty-five——

Mr. **Ottina.** There has never been an appropriation for $41 million in the program.

Senator **Mondale.** In the continuing resolution there is $41 million, and you are proposing a cut to $35 million.

Mr. **Weinberger.** Our basic difference is that the current level of spending, which we believe our budget request does not constitute a cut, viewing that——

Senator **Mondale**. That is the question of whether you are bound by what we think the law is or what you claim it is.

In any event, there is a lot of kids out there that need education who are not getting it.

Mr. **Marland**. There will be a very significant add-on to whichever level by the effect of emergency school aid resources——

Senator **Mondale**. How much ESAA money is going to be spent for bilingual education?

Mr. **Ottina**. Approximately $10 million.

Senator **Mondale**. Has any of it been spent yet for bilingual education?

Mr. **Ottina**. We are in the process of receiving applications now.

Mr. **Marland**. Regulations have just been completed and in circulation and adoption.

Senator **Mondale**. One final point. I have heard rumors—I would like to believe they are true—that the Indian Education Act money is going to be released soon.

Mr. **Weinberger**. There has been no decision, Senator. The current recommendation of the budget is on what we are proposing at the moment.

Senator **Mondale**. Do you think there might be a chance that that money——

Mr. **Weinberger**. I hesitate to speculate about any of these matters. I think at the moment the safest and most accurate thing to say is we are proceeding on the initial recommendation the President made in January.

Senator **Mondale**. It is such a teeny-weeny little program. Couldn't you——

Mr. **Weinberger**. There are so many small programs that when you add them all up, they get to be $11 billion in no time.

Senator **Mondale**. If we could just have $18 million for those Indian kids in public schools. We passed that bill 51 to nothing, did we not, Peter?

Mr. **Weinberger**. The point about that program of course is that the recommendation for rescission of it from the President was not based entirely on a savings or fiscal reason. It was based on the fact that it duplicates a great many other programs and authorities that enable that kind of work to be done elsewhere.

Senator **Mondale**. That is not what we found, but thank you very much.

Senator **Pell**. Senator Dominick.

Senator **Dominick**. Thank you, Mr. Chairman.

Mr. Secretary, I have got a few comments to make to start with and then questions.

First of all I think I should say that I am in full accord with the fact that we should decentralize this categorical system and get it down into revenue sharing as soon as we can. I wonder, however, if we are in fact accomplishing that goal under this bill. It seems to me that what we are doing instead is to simply take 30 categorical grant programs and make them into five categorical grant programs, which is of course better than 30, but it still leaves a lot to be desired insofar as local autonomy is concerned.

I wonder if we are not going to get into the same trouble, the same supervision, the same number of applications, the same number of audits and so on, in order to find out what each district is doing, in order to comply with these complex programs.

Mr. **Weinberger**. Do you want me to comment?

Senator **Dominick**. Yes.

Mr. **Weinberger**. I do not think we are. I would agree with you that there is farther to go and nobody should be alarmed that we have given up all the categorical programs, because there are about another 34 after these 32 that can be dealt with in future legislation.

But I think it is important to bear in mind a few points about this, Senator. There would be five broad areas, as you say. This would be a change from the 32 narrow areas that there are now. But there are a lot of other factors that should be considered.

In the first place, no application form would be required, no grant application, no time wasted in applying for these funds, no time lost in waiting for Federal Government to make up its mind or suggest revisions. There would be no matching funds required. The audit would not be in any sense comparable to, burdensome, or time consuming as present practices. For the most part we would probably pursue the procedures we use on general revenue sharing and accept a State audit subject to some checking of that to satisfy ourselves that it was being adequately audited.

We would have a considerable amount of flexibility within most of these five categories. For example, something like, I think it is eight or nine programs that would be collapsed into the fifth area here, supporting services and materials, and there would be 100 percent freedom to move those dollars around in any other portion of the bill except impact aid, that the local school people felt was desirable.

Senator **Dominick**. That is the supporting services section?

Mr. **Weinberger**. Yes. So you would have I think a very considerable improvement. I will grant you that it is not taking all the Federal funds that go for education and saying to the States and local school districts, here it is, spend it on everything you want. That is perhaps the final version or ultimate version or extreme version or radical version, whatever. But it is a considerable improvement over the existing system of 32 programs for which detailed applications have to be made and a great many other requirements have to be complied with, and then a long delay while we review it, and a considerable amount of uncertainty.

Under this bill each State would know almost from the beginning how much they were going to get and when they were going to get it, which is, I think, a real advantage.

Mr. Kurzman reminds me also that there is an advanced funding provision in the bill which again would get the dollars out sooner and remove more of the uncertainty.

Senator **Dominick**. This, of course, is one of the things which bogs down every education administrator in the country. They never know what they are going to get until after the time when they have made up their budget and have already started.

Now, when you say advanced funding, what do you mean?

Mr. **Weinberger**. Essentially what you mean is that in this fiscal year the appropriation would be made for use in the next fiscal year or the next school year, and the actual way it would work out would be to authorize appropriation of funds——

Senator Dominick. Let's give some figures. Assuming we pass this bill, which I presume is for fiscal year 1974, then what are we talking about in the way of school years?

Mr. Weinberger. It will start next year because of——

Senator Dominick. What do you mean by next year?

Mr. Weinberger. Next fiscal year. It would start in appropriations made in 1974 for 1975, the advanced funding provision. This bill, as was said in its largest element, the disadvantaged, provides for hold harmless, so that in fiscal 1974 a school district would get not less than it gets in 1973. When the time came for the appropriations——

Senator Dominick. Does that mean for the entire school year starting in September 1974 and going through ——

Mr. Weinberger. That is what I understand.

Senator Dominick. Going through the end of the school year 1975, is that correct?

Mr. Marland. End of school year in calendar 1974.

Senator Dominick. In other words it only takes in one-half year?

Mr. Weinberger. It takes in a full school year.

Mr. Marland. The 100 percent hold harmless would apply for a full academic year starting next September.

Mr. Weinberger. The academic year would start in September, academic and fiscal years would end in June. There would be a full hold harmless for that period for the biggest portion of this bill, the disadvantaged amounting to $1,005 million.

Then in the following year, we would hope, the formula would be in place, and the advanced funding provision would then take effect. This is all designed to remove uncertainty and delays so that right now, if the act were in place, a school district would have certain knowledge of when it would get the funds. It would have a very good idea of how much, depending on the actual budget total. It would not have to make any application.

It would know it was not going to be rejected. It would know it would not have to make revised plans or employ a lot of people to pursue the matter.

Senator Dominick. This I would presume would be based upon when the appropriations committee goes to work on this particular situation.

Mr. Weinberger. Inevitably.

Mr. Marland. I think that is an important point because many people view this as a funding bill, and it indeed is not meant to be a funding bill. It is intended to be a greatly improved and more efficient delivery system for whatever Congress may appropriate through the appropriations committees.

Senator Dominick. The point I am making is that if an appropriations committee, as has happened in the past and I am not blaming them for it, should decide what the appropriations are in October, by that time the school budgets are in total "discombobulation"—

Mr. Weinberger. That is not an unknown condition right now.

Senator Dominick. I know it.

Mr. Weinberger. What we are trying to do with this is at least have formula allocations and procedures all in place so that when that moment comes and the educational amount is determined by the Congress, then it would flow completely automatically. At the moment that is the beginning of the process, not the end of it.

Senator DOMINICK. Now I noticed in your impacted aid bill that you have taken care of only impacted "A" students. This means those whose families live on the base, go to school on the base.

Mr. WEINBERGER. It is where the parents both live and work on the base and therefore do not contribute to the property tax base.

Senator DOMINICK. Is there any provision in the bill to take care of any of the problems of "B" students, in other words, those whose parents work on the base, but live off the base, where a district was heavily impacted?

Mr. WEINBERGER. No, sir. The bill simply reflects a basic earlier Presidential decision to eliminate the impact aid program for "B" students.

Senator DOMINICK. That procedure, I must say, I am going to contest this very strenuously and will be putting a bill in to try and change the formula a little bit, to take care of the problems we have in Colorado. But it does seem to me in areas which are adjacent to, for example, a military base, which is remaining in existence, there is a concentration of a great number of relatively low-income families and relatively low housing and no possibilities as far as I can see of getting enough money in that district to take care of them. I know this is true in Colorado and a great many places.

Mr. WEINBERGER. There are some such in California and elsewhere. Senator Pell, a moment ago I think, suggested one of the ways around this and that is simply to close the base. [Laughter.]

Senator DOMINICK. That is an interesting concept. We could close all of them that way and get away from "A" and "B" student problems.

Most of the school people I have talked to think this impacted aid, being as it is a general discretionary fund, really has been enormously helpful to them.

Mr. WEINBERGER. I know of no school person who has been anything but strongly in favor of impact aid, especially if they come from impacted areas. Educationally, programatically speaking, I think it is not sensible to give extra money for education simply because there happens to be a Federal base nearby.

Senator DOMINICK. I do not agree with you on that at all, for a variety of reasons, one of which being that they did not ask all these people to come in to start with. It was imposed because of the national need and this of course is really basic——

Mr. WEINBERGER. The administration proposal is to continue the A category support where there is a real problem with the property tax base, where the parents both live and work on the base and therefore do not contribute to the property tax, not being a property owner.

But for the B program, the fact that there are sound reasons for terminating it is exemplified by the fact that so far as I know every President since President Truman, which is when the program started, has tried to abolish it.

Senator DOMINICK. I understand that, too. I would say to you again though that this is because they would like to use the money in programmatical areas and categorical grants out of Washington, which is one thing from which I have been trying to get away. In other words, this is more like a general aid program than any other single program that I know of and it has worked quite well.

Mr. **Weinberger.** We are trying to eliminate and not use it for the categorical programs, so you might say we have gone half way with you, Senator.

Senator **Dominick.** Let me ask you a couple of other questions. On the vocational education program, as outlined in your proposed legislation, I gather that the vocational education program would come out of what amounts to about 40 percent of the remainder after the disadvantaged category is satisfied, is that correct?

Mr. **Ottina.** That is correct.

Senator **Dominick.** I guess it is less than half.

Mr. **Weinberger.** The amount we would have earmarked for vocational education under this Better Schools Act would be $443 million as compared with $441 million in 1972, so that the amount earmarked for vocational education would be the same, with just a slight increase.

Senator **Dominick.** Is it in fact earmarked or is it included in some other categories so that——

Mr. **Weinberger.** Some of it is included under disadvantaged vocational education and some of it under straight vocational education, but the amount that would go for vocational education, both for the disadvantaged and otherwise, would come out the same or $2 million higher.

Mr. **Ottina.** If I may add to that, it is earmarked for vocational education with the proviso that up to 30 percent of it could be used for other purposes.

Mr. **Marland.** Or could be added to from other parts of the Better Schools Act.

Senator **Dominick.** Again let me get back to my basic question. The vocational education amount as I understand in this bill is included in a broad category from which aid can be given to one of three different type areas, is that correct?

Mr. **Ottina.** The actual amount for vocational education is a specified percent, so that of the approximately 40 percent of the total appropriation remaining 43 percent of the amount must be for vocational education with that proviso.

Senator **Dominick.** That is what I wanted to know. I did not know it was earmarked specifically. Assuming it is earmarked that specifically and everybody goes along with it, and the full amount is appropriated, how does that compare with the present aid to vocational education?

Mr. **Marland.** The figure that the Secretary just furnished, about $443 million, is slightly more than the 1972 level, Senator Dominick.

Senator **Dominick.** I am asking these questions because a great number of people have been confused about this bill and they do not really realize what they are going to get out of it, and I think this is helpful in delineating it. What has happened to the equal educational opportunity bill that I so valiantly fought for last year and almost got my throat cut in the process?

Mr. **Weinberger.** Portions of of it are included in this, but the bulk of it is planned to be funded separately and to be submitted as a separate program.

Senator **Dominick.** It will be a separate program over and beyond——

Mr. **Weinberger.** It would not be folded into this. It will be resubmitted.

Senator **Dominick.** Would you be kind enough to give me, or have Secretary Marland give me, a list of the 30 categorical grant programs that are being folded into the BSA.

Mr. **Weinberger.** Thirty-two; yes. I spoke a little too quickly. Title I of that EEOA bill is included in the disadvantaged remark of this bill, to get this concentration of this critical mass and so on. But title II through V of the act you are familiar with, will be reintroduced as a separate bill presumably by the Justice Department, and ESAA program continues as a separate program, not ground into this.

[The information subsequently supplied follows:]

Programs to be Consolidated With Passage of Better Schools Act

Disadvantaged Earmark

- local educational agencies (ESEA, Title I-A)
- neglected and delinquent children (ESEA, Title I-A)
- migratory children (ESEA, Title I-A)
- incentive grants (ESEA, Title I-B)
- grants for high concentrations of poor children (ESEA, Title I-C)

Handicapped Earmark

- grants to States (EHA, Part B)
- set-aside from Title I (Section 103(a)(5), ESEA)
- set-aside from Title III (Section 305(b)(8), ESEA)
- set-aside from Vocational Education (Section 122(c)(3), VEA)

School Assistance in Federally Affected Areas Earmark

- local educational agencies (Section 3, P.L. 81-874)
- sudden and substantial attendance increases (Section 4, P.L. 81-874)
- assistance for school operations in cases of certain disasters (Section 7, P.L. 81-874)
- assistance for school construction in cases of certain disasters (Section 16, P.L 81-815)

Vocational Education Earmark

- State advisory councils (Part A, VEA)
- State vocational education programs (Part B, VEA)
  - --disadvantaged set-aside
- research grants to States (Part C, VEA)
- exemplary programs and projects (Part D, VEA)
- residential vocational education (Part E, VEA)
- consumer and homemaking education (Part F, VEA)
- cooperative vocational education programs (Part G, VEA)
- work-study programs for vocational education students (Part H, VEA)

- Smith-Hughes Act

Supporting Services Earmark

- Title III, ESEA
- National School Lunch Act

Child Nutrition Act of 1966
Grants to States for Education (Sections 304-308 Adult Education Act)
Special programs relating to Adult Education for Indians (Section 314 Adult Education Act)

The following programs were formerly included under the Education Special Revenue Sharing Act of 1971. The President's Budget for FY 1974 proposes termination of these programs, however, funds from the Supportive Services Category may be used by the States to fund these activities.

Title II, ESEA
Title V, ESEA
Title III, NDEA
Education Professions Development Act (Part B-2)

Senator Dominick. We had in that bill, as I remember, authorization for about $1 billion extra. Do I understand that you would then be coming up with a separate bill on that or is that extra billion dollars considered to be folded into the disadvantaged?

Mr. Ottina. Senator Dominick, the 1974 budget has already been submitted with a request for $271 million under the Emergency School Aid Act. That is approximately the continuation level of what was appropriated in 1972—with a slight increase. The budget request is already in for that.

Mr. Marland. I think the Senator would like to know what follows, if anything, for EEOA?

Mr. Ottina. For 1975 it would be the same year that I think your question would imply.

Senator Dominick. I am a very bad mathematician, but I want to know if we add together the title I funds that we had last year and the equal education opportunity money, are we going to come out with more or less authorized money.

Mr. Ottina. The authorization would come out the same, as I understand it, except that the bill that we are proposing here does not propose a specific authorization. The bill that is being proposed in the Better Schools Act says "such sums as" rather than a specific authorization.

Senator Dominick. That you will not get by me either.

Mr. Ottina. The request that we are talking about here would in effect present the same amount of money in the 2 years.

Mr. Weinberger. There is not an authorization level stated in this bill, Senator. What we are asking is the blanket or open authorization language of such sums——

Senator Dominick. You would not care if we put our own in?

Mr. Weinberger. We do care, we think high unnaturally inflated authorizations do nothing but arouse false expectations that cannot be realized and that there is a great deal wrong with putting them in at these unnaturally high levels.

We think there is a better way to go, and that is obviously the reason we have recommended it; to simply authorize the amount that may be necessary and then when we get to the appropriations process, see what we have, what is left, and so forth and so on.

Senator Dominick. Mr. Secretary, I have only been here for 14 years, and I have never let a bill go through that way yet, and I am not going to start.

Mr. Weinberger. I understand there is a difference of opinion on this point.

Senator Dominick. If you can perhaps sometime let me know what you think might be the range for legitimate figures that you could put into these programs.

Mr. Weinberger. I suppose we would recommend for 1974 the figure of $2.7 billion, which is the amount that is planned to be spent for it during the fiscal year of 1974.

Senator Dominick. The reason that I suggested that is that I am sure you are going to have to come before the Appropriations Committee and request specific amounts on that, which presumably would amount up to about $2.7 billion.

Mr. Weinberger. Yes.

Senator DOMINICK. I think it would be helpful if we in this committee had a chance to take a look at those figures for authorization levels, too.

Mr. WEINBERGER. As a general rule, Senator, we would recommend that the authorization stay as close to the proposed spending program as possible.

Senator DOMINICK. I have no objection to that because I agree with you that this committee in particular from time to time has put in unrealistic authorization levels.

I have a question here from Senator Javits which I will read and then submit to you for an answer whenever you can.

New York State authorities informed Senator Javits that the poverty concentration factor in the administration's bill has the effect for fiscal 1974 and fiscal 1975 of eliminating Federal education aid for disadvantaged in approximately 700 of New York State's local school districts. Is this correct and how many school districts in New York State would receive such assistance?

Mr. WEINBERGER. Of course, for 1974 it is obviously incorrect, because there would be a hold harmless provision that would insure that the amount remain substantially the same. The 1975 figures would depend on the amounts appropriated at that time.

Senator DOMINICK. Perhaps you could submit a little fuller answer when you can.

Mr. WEINBERGER. We will.

Senator DOMINICK. You and I have already discussed as to whether this is revenue sharing or grant consolidation. We may differ on semantics, but what you have done really is to take 32 programs and turn them into five broad areas, is that correct?

Mr. WEINBERGER. That is correct. But we have done something more than that because we have eliminated the normal categorical apparatus of applications, review, rejection, revision, delays, and matching funds, and have simply said that in these five broad areas with considerable flexibility between most of them, you may have this amount that the formula grants you, and you will get it as soon as it is appropriated, and there will be no question about it, nor any need for you to do anything other than receive it and disburse it in accordance with the terms of the act, which is very broad discretionary authority.

Senator DOMINICK. On this next question, I want to start out by saying I have no such concern, but it does seem to me that other people in the country do have a concern about local and State agencies, as to whether they will in fact maintain the priorities that we are trying to establish here. My theory is that if they do not, people in the area can throw them out of office. So it is real simple to get the people in that you want, if you want to really work on it. But a lot of people do not feel that way.

Mr. WEINBERGER. I think that is right. I feel a lot of people do not feel that way. I do not think there is any justification for that feeling, because we still retain the obvious authority to withhold or to sue for refunds or to block future payments in the event of any violation. The bill contains a rather substantial number of remedies for noncompliance in section 12. I do not have any more worry about our ability to enforce the broad areas of Federal priority than I would about the narrow areas of Federal priorities that are expressed in the 32 programs.

But I agree with you that there are some people who mistakenly worry about these.

Senator Dominick. I gather under the bill a Governor is going to designate the administering agency; is this correct?

Mr. Weinberger. No. Under the bill any State that has a single State agency designated to administer Federal education funds—and I do not know how many do, but a great many do; I think Drs. Ottina or Marland would know—this agency would take over. In the absence of that, the Governor would decide who administers the State portion of the funds. But at any time the State wishes to designate a single State agency, that organization would take over.

The balance, of course, would be done by local educational authorities.

Senator Dominick. Would you give me, for my own information here, a little idea of how much is going to flow through to local areas without the administering agency or the Governor determining it?

Mr. Ottina. Actually, the impact aid of approximately $200 million would flow through directly to local education agencies. The $75 million that would be removed for the outlying territories—it all would not go to the States—and depending upon how your definition of flowthrough is, as much as $1½ billion could or could not flow through.

The State does have an opportunity to take a look at that program and allocate it to the disadvantaged, for the migrants and for the neglected and delinquent, but other than that, it has no authority to retain funds, but must pass it through the local education agencies on the basis of the criteria that we are describing. So depending on how you choose to call that, as much as $1.7 billion-plus–$1.8 billion-plus.

Senator Dominick. You have got quite broad discretion here for handicapped, vocational education, supportive services, and so on. Who determines how much of the money that goes into the districts are going to be spent on each one of these? Is that formula to remain in effect in each of the local districts; namely, 16 percent for handicapped, 43 percent for vocational education, and so on?

Mr. Marland. In the case of the items Dr. Ottina has enumerated—namely, impact aid and the disadvantaged—that determination is made in the law, and those sums substantially pass through. By designating the single State agency, however, the uses of remaining funds, once you have taken that $1.8 billion right through to the local, would have considerable discretion as to how the funds are spent.

For example, the handicapped may in certain States already find a condition that is very well supported from State funds and the added resources of this would not be as realistic as they would be in some other area such as vocational education.

The State board of education, or whatever the authority is in that instance, would then determine how the handicapped funds were to be deployed. It might well be that some of those funds would remain in experimental settings at the State level. The large share of them, I am sure, would go right through the local district to sustain special education classes. But that would be discretionary.

The same would be true of vocational education. Now in the case of supporting services, that is entirely discretionary and would indeed be used, I expect, by State authorities to carry out some of the important research and development that is now going on, carry out some of the work in title III, carry out some of the work in libraries, some of the work that has been sustained by title V, but that would be up to the States to judge how they wanted to use that money.

Therefore, the short answer to your question is about $1.8 billion is not very discretionary with the States except as to reviewing compliance with the law.

The remaining $1 billion would have considerable discretion within State authority to deploy those moneys at a State and/or local level.

Senator DOMINICK. So as far as that chart is concerned, the No. 3 distribution among categories is concerned, by and large the State agency and/or the Governor would be the ones to determine how much of those funds would go into local districts?

Mr. MARLAND. That is correct. I would have to say that it would be up to the Secretary of HEW, and that is where we get back to the Secretary's earlier testimony on compliance auditing, to make sure that those funds did reach those targets as the law may establish them.

Senator DOMINICK. I just want to be sure on flexibility. As I understand it, under the handicapped, you have got 10 percent that could be transferred out of that 16 percent of the fund——

Mr. OTTINA. Thirty percent for handicapped, 30 percent for vocational education, 100 percent for supporting services.

Senator DOMINICK. You do have quite a lot of flexibility within each State to determine what their basic needs are.

Mr. OTTINA. Yes, sir.

Senator DOMINICK. What type of review do you intend to see whether the money is approximately carried out or properly used in accordance with this law?

Mr. WEINBERGER. Under the pattern of general revenue sharing, we have a situation in which, while it is still being developed and refined, the basic idea is that the States would audit it and certify the ways in which the funds have been spent. State funds—funds have to be spent, first of all, in accordance with a broad State plan, and we would have their report on it, and we would have their report on the fact it had been used for the broad basic purposes of the Act.

We would contemplate a spot check or simple audit of that to insure that their auditing procedures were adequate and that they were telling us the truth, and if we found that this was not the case, we would certainly have a very complete set of remedies. As far as the civil rights provisions are concerned, the fair labor standards and so on, all of those would apply, and you would have the same basic procedures and rules that you would have for allocation of any Federal funds, highways or contract procedures, or anything of that kind.

There is actually an additional protection involved here in the antidiscrimination provisions because we have added into this not only the discrimination of the Civil Rights Act, but also discrimination with respect to sex.

Senator **Dominick**. Do you, Mr. Secretary or Secretary Marland, have any idea of how great a portion of the States have been using general revenue-sharing funds for educational purposes?

Mr. **Weinberger**. I do not yet. Dr. Marland may have.

Mr. **Marland**. The evidence at this stage is very strongly supportive of a tendency to devote significant parts of general revenue sharing to education. Some 12 States at our last count had either acted already to devote large portions to education or were in the process of moving legislation this spring to accomplish that end. There has been recent effort, for example, in Oregon to assume full State funding for education in that State in which they will draw heavily upon the resources of general revenue sharing. Maryland is also moving in this direction. Mississippi is moving in this direction. Georgia is moving in this direction. I would add that the evidence continues to come in, week by week, to point out the States, particularly in responding to the Supreme Court decision affecting Rodriguez, instead of appearing to turn away from State responsibilities, appear increasingly to be assuming those responsibilities.

Senator **Dominick**. I am happy to hear that. I know our State is. I wondered about some of the others.

Mr. **Ottina**. If I might, we would be pleased to provide you with a list of those States. That is not to say the other 38 are not going to. They just have not taken action.

Senator **Dominick**. I think it would be helpful if you would.

[The information subsequently supplied follows:]

Education
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NEWS RELEASE

CONTACT: George Neill

RELEASE: Thursday a.m.
January 25

12 GOVERNORS SEEK REVENUE SHARING TO BOLSTER STATE EDUCATION PROGRAMS

DENVER, Jan. 25--Governors in 12 states are urging that all or a significant part of their state's portion of new federal revenue sharing funds be targeted specifically to aid public education.

This is one of the findings of a survey of 44 states conducted by the Education Commission of the States (ECS) in cooperation with the National Association of State Education Department Information Officers.

The ECS study disclosed that the governors of Oregon, California, Utah, Nevada and North Dakota have recommended to their legislatures that the total portion available to the states go directly to education programs or that it be split between direct aid to schools and indirect aid to schools through property tax relief.

The governors of Montana, Georgia, Pennsylvania, Washington, New Jersey, Ohio and Virginia have asked their legislatures to appropriate at least part of the new money directly to schools. Since 49 state legislatures will be in session this year, the issue of what to do with the revenue sharing money will become a major concern in numerous states during the next few weeks.

The ECS survey disclosed that governors in most states are remaining noncommittal and leaving the decision to the legislatures or are recommending that the money be placed in the state's general fund to bolster state support for all state services.

The new money, totalling $30.1 billion over the next five years, comes from President Nixon's general revenue sharing program which became law last Oct. 20. Two-thirds of this amount goes to local governments and cannot be used directly for education; one-third goes to the states, which can use it any way they wish, including education. The White House goal: to give states and local governments a share in federal revenue, thus beginning a shift of decisionmaking away from Washington and giving the states and localities more leeway in spending federal dollars.

ECS said Gov. Tom McCall wants the Oregon state share--$17 million annually--to go entirely to the state basic school fund from which moneys are allocated to local school districts on a formula basis. The move is part of McCall's plan to ease the property tax burden by shifting the operating cost of elementary and secondary education to the state.

Gov. Ronald Reagan and the state legislature have already agreed to an increase in 1973-74 of $561 million in state aid to California's public schools and the governor is proposing that the state's estimated annual portion of revenue sharing--$215 million--be used for this purpose. Approximately $234 million of the total boost will go for property tax relief and the remainder will go for direct support of local school districts. The new money will substantially increase the state's contribution to local education and will boost the state's share of school costs from 31 per cent to 40 per cent. Gov. Reagan anticipates that use of revenue sharing will be used for this purpose in future years, one of his aides told ECS.

Utah's Gov. Calvin L. Rampton wants his state's entire portion of revenue sharing--$10.5 million per year--to be allocated for the state's

Nevada's Gov. D. N. (Mike) O'Callaghan also wants his state's total share--$3.8 million per year--for additional support for elementary and secondary schools.

North Dakota's new governor, Arthur A. Link, is seeking to boost his state's foundation aid program for elementary and secondary schools from the current $52.7 million per biennium to $94.5 million per biennium. And to help achieve this goal he hopes to use all the state's portion of the revenue sharing money--$9.3 million available this fiscal year and $16 million expected during the next two years.

The ECS survey also discloses how governors in seven other states want to use a portion of their state's share for education:

. Pennsylvania--$43 million of $115 million available for the current fiscal year has already been assigned to public schools by an act of the legislature, as requested by Gov. Milton Shapp. Next year some of the revenue sharing funds are expected to be used to expand education for handicapped children.

. Montana--$1 million out of the state's first payment of $3,381,910 is recommended for vocational education. However, in the years 1974 and 1975 the funds, which will total $18.5 million for two years, will be sought for institutional aid, mostly noneducational.

. New Jersey--$40 million of the state's total allocation of $55 million is recommended for increased state support this year to local school districts.

. Virginia--$30.4 million is recommended for elementary and secondary schools during the school year 1973-74. It will come from a total of $85 million in revenue sharing made available for the 1972-74 budget and it will be used mostly to help equalize the expenditures between poor and wealthy school districts. This is a policy many states are considering as the result of court rulings requiring an end to the vast gaps in per-pupil expenditures between wealthy and poor school districts within a state.

. Georgia--$56 million of the state's total allocation of $91.5 million for the next 2 1/2 years is recommended for education. The breakdown: $34.5 million for local school district construction and for the construction of early childhood education classrooms; $11.5 million for new college facilities; $10 million to the state scholarship commission for student aid grants.

. Ohio--$34.3 million out of the state's total of $92.3 million for the current fiscal year is recommended for construction and equipping facilities for vocational education.

. Washington--$36.9 million of the state's revenue sharing total of $100 million for the 1973-75 biennial budget would go directly to support public schools; an additional $35 million from revenue sharing would aid schools indirectly by helping to reduce property taxes.

The first revenue sharing payment to New York--$196 million--has been placed in the state's general fund, state officials told ECS. They point out, however, that approximately 45 per cent of the general fund goes to education, so indirectly a portion of the revenue sharing money will eventually go to support public education. A similar approach is expected in many states.

State officials are quick to warn the public that revenue sharing funds don't necessarily mean that the states will now be receiving more federal funds for education--or for anything else. They point out that possible reductions in aid for specific education programs, as now being considered by the Nixon Administration, could easily result in actually less federal education funds for states in the next fiscal year, despite the availability of the new revenue sharing money.

One state official, who wished to remain anonymous, told ECS that general revenue sharing is the "greatest hoax" of the year because it misleads the public into believing that more federal funds are available to the states. "They give it with one hand and take it away quietly with another," he said. "My state," he added, "will probably end up with considerably less this year."

Wendell H. Pierce, ECS executive director, says use of general revenue sharing offers the states "a great opportunity to strengthen state education leadership and state departments of education. It is the first step in the shifting of priority-setting from the federal to state governments, a move the states have been seeking for years." Pierce added: "Everyone--including those who oppose giving more authority to states--will be watching closely to see how well they do the job."

Meanwhile, at the federal level state education leaders are being urged by Sidney P. Marland, assistant secretary for education in the Department of Health, Education and Welfare, to seek revenue sharing funds for education. "Start negotiating with your legislatures and governors," he advised the Council of Chief State School Officers. Numerous state education leaders have urged similar action.

ECS, a Denver-based nonprofit organization supported by 45 states and territories, works with the states to advance their education programs at all levels--preschool through higher education.

-30-

Senator **Dominick**. You have said, and unfortunately I did not catch the whole thing, as to what portion of nonpublic school students this bill might be of assistance.

Mr. **Weinberger**. I did not say what proportion, because I do not really know, although there may be others here that do. What I said was that the bill provides that the benefits of the bill must be available to nonpublic school students and so utilized by the States, unless the State law prevents that. In that event, then the Secretary of Health, Education, and Welfare is directed to make provision for the application of the benefits to nonpublic school students and to utilize a portion of the State's share for that purpose, to insure that they will share in the benefits of this bill.

Senator **Dominick**. Let me be specific so I can understand a little better. Let us take vocational education again because I happen to think this is a good program.

What does that mean in terms of this bill? Will other nonpublic schools be entitled to funds for vocational education students?

Mr. **Weinberger**. I think, first of all, it is not a new provision or mechanism. It is substantially what is in title I of the ESEA now. What it would mean would be the result you would end up with would be that the benefits for vocational education would be equally felt by both public and nonpublic school students, and if the State law prevented a State doing that, then we would try to do it for them and the result would come out the same in the sense that their State's share would be utilized for this purpose.

Dr. Marland may want to add something to that.

Mr. **Marland**. An illustration would be as you have drawn on vocational education for your question, that equivalent services, I think, is the kind of language we would prefer to use rather than distribution of Federal dollars. We have learned from our title I experience and our title III experience that equivalent services is more compatible under the constitutional constraints, but with the reality of the local situation.

For example, it would not be uncommon under the extensions of this bill to reach children that are not now being reached, both handicapped and vocational education, by having services provided, that would mean in the case of vocational education of having young people come from the local middle schools, or from the local parochial schools or other nonpublic schools, to the laboratories and shops and other resources of the local public schools, without any interruption whatsoever in their eligibility.

Whereas now this has to be negotiated and frequently has not materialized.

The law would require equivalent services. Now indeed it might be more efficient to establish such services operated by the public schools at the site of the nonpublic school.

This would be less likely because of the capital cost implied.

Senator **Dominick**. Now the staff tells me that most of the parochial schools do not have vocational education programs now.

Mr. **Marland**. That is correct.

Senator **Dominick**. All those parochial schools, the students in it, are they entitled to go to public school for vocational education services for training and so on? What does that do to the budget of the local school?

Mr. Marland. Well, the resources of this bill would serve all of those children affected. I might add that at this stage of our history, the dollars for appropriations from Congress to the States for vocational education are very substantially overmatched already at the State and local level by the order of 3 or 4 to 1.

Therefore, we would assume that the incentive implicit in this authority would say that the local school district would indeed find ways to provide vocational education for all those wanting it from the nonpublic schools, and we would encourage it.

Senator Dominick. This colloquy has been very helpful.

I have one more question, Mr. Chairman, and then I will be quiet.

I have before me a sheet—I do not know where it came from—showing all 50 States and showing how many gain or lose money in the operation of this revenue sharing bill. As I look at my own State, and I find that we lose money in 1974, we presumably gain money in 1975. How does that occur?

Mr. Marland. It would help us, Senator, if we knew what documents you were dealing with. There have been some erroneous guesses made.

Senator Dominick. It is simply a sheet showing whether you gain or lose money, not the amount. I do not know where that came from.

Mr. Marland. I think this is a popular journal that made some preliminary estimates and we would probably prefer to deal with actual figures.

Mr. Ottina. The question you ask, Senator, I can give you a hypothetical reason. Since there is no particular dollars yet associated with 1975, it has to remain hypothetical. I think the effect that you are noticing is the effect that during 1974 for title I, both State and local education agencies are held harmless to the 1973 level, so the formula itself for disadvantaged does not truly operate at levels being proposed for 1974, since it is essentially the 1973 level that is being proposed for 1974.

In 1975 if we distributed the same amount of money or in 1974, if held harmless was not into effect, the States would be receiving funds commensurate with their definition of disadvantaged under *Orshansky*, and I would guess that perhaps Colorado would show an increase, and that is why you see an increase.

SAFA also would go up during the 2 years.

Senator Dominick. To me that is clear as mud, but it is a good effort.

I wonder if you could do this for the committee, which I think would be helpful, to show us how the States are going to come out.

Mr. Marland. The Secretary offered earlier to submit for the record a State by State analysis of 1974 without any information yet predicted on 1975.

Mr. Weinberger. Bearing in mind that in 1974 the biggest piece of a bill has the hold-harmless clause in it, so there will be no less for disadvantaged than there is at present. The 1975 figure has to be completely hypothetical because obviously the total for each State depends on the total amount. No one has any idea at the moment.

Senator Dominick. This particular sheet, I might say, shows that my State, and I am sure this is true of most of them, goes down in impacted area aid because of the elimination of category B.

Mr. Weinberger. Impact aid is down, but that is the function of this bill. That is as a result of the decision not to have category B.

Senator Dominick. I understand that. Aid for vocational education goes down in both years, and supporting services goes up, now that practically does not fit with the information I have from the school people. I do not know where this sheet came from as I said.

Mr. Weinberger. There is a great deal of unreliable information floating around about this bill.

Senator Dominick. That is all I have.

Senator Pell. Senator Hathaway.

Senator Hathaway. Mr. Secretary, you may have answered this. There are 30 programs being replaced?

Mr. Weinberger. Thirty-two.

Senator Hathaway. There will be five categorical programs?

Mr. Weinberger. Five broad areas in which the funds can be spent with considerable flexibility as Dr. Marland and Dr. Ottina indicated between those areas.

Senator Hathaway. You mean 27 programs that were previous categorical aid programs which have been eliminated and left up——

Mr. Weinberger. There will be 32 eliminated and substituted for them will be five areas: the handicapped, the disadvantaged, vocational education, impact aid, and the supporting services and materials.

Senator Hathaway. Those cover the 32 that are eliminated?

Mr. Weinberger. That is correct.

Senator Hathaway. Within those five categories a certain amount of discretion is left to the States?

Mr. Weinberger. Very substantial.

Mr. Marland. We do not even call them categories. They are areas of national concern, which Congress has established over the years, and which we feel should be sustained, but they are not categories in the sense of legislated specifics.

Senator Hathaway. I agree with you in part, that the local school districts probably have a better idea of what their needs are, at least to a certain extent, but one of the reasons for the Elementary and Secondary Education Act, which as you know was enacted in 1965, was because the local school districts were not doing the job that they should have been doing, and that the proportion of Federal money as a percentage of most local school budgets was not very great. I hate to see the injection of ideas that came about as a result of the act being terminated at this time, especially with a bill like this, that apparently has no termination date with respect to authorizations. It just goes on forever.

Mr. Weinberger. It is recommended for a permanent change. That is certainly true, Senator. I do not think there is any reason to suppose that innovation or experimentation or good administration would be lost by the adoption of this bill. We think quite the contrary.

We think a great deal of time, effort, and manpower was lost in the preparation of all the applications and the review of them and the revisions and a great deal of time consumed. It was done, I am sure, with perfect good will and with very high motive. I think there were some good things that did come out of it.

But, after 5 or 7 years of operation, the way it was finally beginning to work was that you would have a few districts that became skilled in knowing what kind of applications would be approved, getting funds that were perhaps more than actually needed and a lot of areas where this skill was not possessed, but where the need was great, not getting the moneys. It was designed to try to eliminate that kind of, as we see it, unnecessary part of the system.

Senator HATHAWAY. It seems as if you are going overboard to do it. It seems some compromise arrangement could be made where you still maintain a mechanism of idea generation at the Federal level, and a carrot-stick approach as we had in title III.

Mr. WEINBERGER. We have the National Institute of Education, which is new since then, of course, which is designed to produce the best benefits of research and development in the education field at all levels, and we also have within this act a very substantial amount of freedom for the States to do very much as they wish in the development of experimental ideas, but I think you can get a situation in which it is recognized by some school districts that a premium is paid on experimentation and creativity so they know how to draw up grant applications. I think it is important that we have the funds going in a way that assures us. We are still going to be able to provide technical assistance and would certainly expect to do that.

Senator HATHAWAY. It seems if we could devise some way to eliminate grantsmanship and still preserve the carrot and stick approach——

Mr. WEINBERGER. We think we can under this bill. But the more categories, the more narrow boundary lines you have, the more it seems to me you are going to force spending of the Federal funds in a way that may not be best nor certainly not as perceived to meet the local priorities. We think that local people are better able to select priorities. Now this is not a general revenue-sharing bill. This says you do have to spend these Federal funds for these broad purposes.

Those broad purposes are ones the disadvantaged and vocational and handicapped and all that we think are quite justified and that the chances are local school districts might not make the effort that we would all like to see made in those fields.

So we say emphatically that is not a general education bill. It is not a support bill. It is designed to encourage and increase the amount of resources in five areas where there has been identified to be a national priority and need.

But within that, that is enough identification, when you get down to the 32 programs, with all the concommitant noneducational work that has to go with it, to pry the money out of Washington, you lose a lot. We have indicated and truly mean there may well be a lot of discussion in constructing a formula—this is not necessarily the final word at all.

I indicated when I think you were on the floor that we are already in some discussion with Congressman Quie about some of the different kinds of factors he would like to grind into the formulas, and we would be very happy to do that.

But the basic idea of getting away from the 32 programs, the application forms, the delays, the uncertainty, the matching funds, the wasted time and effort, that is a pretty firm part of this bill, and that we would like to keep.

Senator Hathaway. Would you consider a revised title III approach for part of the funds, for example?

Mr. Weinberger. The title III was supposed to produce innovative and creative work. I have seen an awful lot of applications—it would be now in supporting services. I was going to say I have seen an awful lot of applications that are labeled innovative and creative, that get a grant, that I think there is some question as to how much innovation or creativity actually resulted in direct benefit to the children. But there is room, plenty of room for that kind of thing within the 100 percent discretion in the fifth broad area here.

Senator Hathaway. That is if local school districts want to come up——

Mr. Weinberger. Again the forcing of an application designed to produce innovation and creativity is no guarantee you are going to get it. That is what I am saying. That is what I think is the result——

Senator Hathaway. If we just say 41 percent can be used for supporting services, they do not have to spend any of that amount on new ideas?

Mr. Weinberger. That is right. I am not one to believe that the local school districts are so eager to get away from experimentation, creativity—I think they are as eager to find new things as we are. We do have a National Institute of Education whose sole purpose is to assist with this along with technical assistance programs.

Senator Hathaway. I think we had that, something comparable to it prior to 1965, and yet the number of innovative ideas was not very great.

Mr. Weinberger. I do not know that there are a great many innovative ideas around. We have spent quite a lot of money and years in title V, which is designed to strengthen the State departments of education, and I have the most serious possible question which is another way of saying frankly it does not work with that program. I think what has happened to a very considerable extent is the States have taken this money, they have "strengthened" the State departments of education by paying salaries that they would otherwise have paid with State funds, and saying, look, we complied with title V. We did not get anything out of it as the National Government, and I do not think schoolchildren did.

Senator Hathaway. What are our national priorities? We know, for example, almost 80 percent of high school graduates today graduate without any skill whatsoever. We are almost at a stage now similar to the time of Sputnik in that respect. I think a lot of the reason that Japan, for example, is gaining on us very rapidly is because we are not imparting the skills to our students during the first 12 years——

Mr. Weinberger. We do not disagree with that analysis. Dr. Marland has spent an awful lot of time and effort developing career education idea, and I am sure he could tell you briefly about some of the things he thinks are in place now that will help deal with this gap that you correctly identify.

Mr. Marland. We are very supportive of the proposition you have stated, Senator. We would see over the next 2 or 3 years a very marked increase in what we call career education, which is concerned with all young people in school and in postsecondary education. We would see the resources of vocational education in part being used for developmental work in States and local communities as they are now being used in virtually every State to develop models which are major reforms that get away from the traditional vocational education, which had to do pretty much with the crafts and trades.

We see vocational as something much larger than that under the career education terminology, and we would say affecting virtually every young person. And resources now before us, including, I hope, the funds we would seek in the future would build upon these models now in place. We do not think they are ready yet to be universalized.

We have five major experiments going on under the National Institute of Education. Every State under the jurisdiction of Dr. Ottina's office now has limited developmental moneys for this model building. We would hope that in 2 or 3 years we would have a very substantial case to be made just for what you are suggesting.

Senator HATHAWAY. Thank you. Let me ask another question. With respect to the amount of money that you are suggesting be authorized and appropriated, about $2.7 billion, how does this compare with the amount appropriated last year the amount spent last year, the amount authorized last year for all the programs that you are replacing?

Mr. WEINBERGER. I do not have the authorization figures, but I am sure someone here does. In 1972, the appropriation for these programs was $3.08 billion and the difference is entirely, as I understand it, in the recommendation that we do not continue the part B impacted aid program, which has not as I say, anything to do with this bill, but which is a decision totally independent of this bill.

But your totals come out less because the impacted program under this bill or indeed under any program consistent with the President's recommendation will be substantially lower.

[The information subsequently supplied follows:]

Budgeted Items Included Under the 1973 BSA Bill,
as compared with the 1972 ERS Bill,
1972 Appropriation and the FY 1973 Budget
(Amounts in Millions of Dollars)

	1972		1973	1974	
	ERS Bill	Appropriation	Pres. Revised Budget	BSA	[illegible] Authorization
DISADVANTAGED EARMARK					
1. Local educational agencies ...	1,432.0	1,406.6	1,390.1	1,443.6	4,019.9[1]
2. Neglected & delinquent children	*	20.2	22.1	22.1	27.9
3. Migratory children	*	64.8	58.4	58.4	73.5
4. Incentive grants	8.0	7.3	8.2	--	120.7
5. Grants for high concentration of poor children	14.0	24.8	28.1	--	496.5
- State administration	--	17.3	17.2	--	42.6
- Set aside from Vocational Education	57.0	Under Voc.Ed. earmark	Under Voc.Ed. earmark	Under Voc.Ed. earmark	Under Voc. Ed. earmark
"Savings" from recalculation of SAFA 'A' entitlement.....	---	---	---	21.6	
Sub-Total..............	1,511.0	1,541.0	1,524.1	1,545.7	4,776.1

*Included in $1,432.0 above

	1972 ERS Bill	1972 Appropriation	1973 Pres. Revised Budget	1974 BSA	Authorization
HANDICAPPED EARMARK					
1. Grants to States (Part B, EHA)	35.0	37.5	37.5	37.5	226.6
2. Set-aside from Title I, Sec. 103(a)(5), ESEA	46.0	56.4	60.9	60.9	65.9
3. Set-aside from Title III, Sec. 305(b)(5), ESEA (15%)..	21.0	21.9	21.9	21.9	90.8
4. Set-aside for State grants from Sec. 122(a)(1), VEA (10%)	37.7	37.7	37.7	37.7	56.5
"Savings" from recalculation of SAFA 'A' entitlement....	--	--	--	6.9	
Sub-Total.............	139.7	153.5	158.0	164.9	437.8

	1972 ERS Bill	1972 Appropriation	1973 Pres. Revised Budget	1974 BSA	Authorization
SCHOOL ASSISTANCE IN FEDERALLY AFFECTED AREAS					
1. Local educational agencies (3a)P.L.874, 81st.	178.0	180.5	227.2	194.8	223.9
- Local educational agencies (3b)P.L. 874, 81st.	209.0	331.4	146.3	not in budget not in bill	462.3
2. Increases (4) P.L. 874, 81st.	not in bill	1.5	--	--	1.0
3. Disaster (7) P.L. 874, 81st.	not in bill	35.0	--	--	indef.
4. Disaster (16) P.L. 815, 81st.	--			--	indef.
Sub-Total	387.0	567.7	373.5	194.8	687.2

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[1] At current income level of $2,000. At $6,000 level authorization is estimated at $6,119.6

	1973 ESA Bill	1973 Appropriation	1974 Pres. Revised Budget	1975 ESA	1975 Authorization
VOCATIONAL EDUCATION BARGAIN					
1. **State advisory councils (Part A, VEA)	*	2.7	2.7	2.7	Indef.
2. State vocational education programs (Part B, VEA	287.0	302.0	302.0	302.0	505.0
3. Set-aside for disadvantaged (Part B, VEA)	Under disadvantaged network	57.0	57.0	57.0	40.0
4. Research grants to States (Part C, VEA)	*	9.0	9.5	9.0	56.0
5. Exemplary programs & projects (Part D, VEA)	*	8.0	--	8.0	75.0
6. Residential vocation education (Part E, VEA) ..	*	--	--	--	80.0
7. Consumer and Homemaking (Part F, VEA)	*	25.6	25.6	25.6	50.0
8. Cooperative vocational education programs (Part G, VEA)	*	19.5	19.5	19.5	35.0
9. Work-study for vocational education students (Part H, VEA)	*	6.0	6.0	6.0	55.0
10. Permanent appropriation (Smith-Hughes Act)	*	7.2	7.1	7.2	7.2
- Curriculum development in vocational and technical (Part I, VEA)	*	4.0	4.0	not in bill	10.0
- Savings from SAFA A	*			6.1	--
Sub-Total	287.0	441.0	441.0	443.1	932.2

* included in $287.0 above.

	1973 ESA Bill	1973 Appropriation	1974 Pres. Revised Budget	1975 ESA	1975 Authorization
SUPPORTING SERVICES BARGAIN					
1. Title III, ESEA, Supplementary services less set-aside	104.0	124.4	124.3	124.3	515.3
2. National School Lunch .... } 3. Child Nutrition Act .... }	193.0	205.0	239.0	244.0	Indef.
4. Adult Education Act (excluding Sec. 309)	45.0	51.1	51.1	51.1	191.3
5. Special programs relating to adult education for Indians (Sec. 314 AEA) ...	--	--	--	--	5.0
- Advisory Councils (combined)	--	.8	.3	1.0	Indef.
- Savings from SAFA A				2.1	--
Sub-Total	342.0	368.3	415.3	422.5	710.6
Grand Total	2,646.7	3,084.5	2,911.9	2,771.0	7,561.9
COMPARABLE TOTALS FOR PROGRAMS IN 1974 ESA BILL ...		2,716.6	2,361.8	2,771.0	

The following programs were formerly included under the Education Special Revenue Sharing Act of 1971. The President's Budget for FY 1974 proposes termination of these programs, however funds from the Supportive Services Category may be used by the States to fund these activities.

	1972		1973 Pres. Revised Budget	1974 RSA	1973 Authorization
	[illegible] Bill	Appropriation			
1. Title II, ESEA, School libraries	80.0	90.0	90.0	—	217.4
2. Title V, ESEA, Strengthening State departments of education	33.0	33.0	38.0	--	110.0
3. Title III, NDEA	--	50.0	1.5	--	140.5
4. Education Professions Development Act (Part B-2).	7.0	7.0	--	--	2/

2/ Total of $200,000,000 authorized for EPDA.

Senator Hathaway. That is the only difference?

Mr. Weinberger. Yes, sir. There are variations. The school lunch program is added, the library program is discontinued, and title V, the one I mentioned a moment ago, that is strengthening of State school superintendents.

Senator Hathaway. How does it compare with the amount actually spent?

Mr. Weinberger. Well, the amount spent and amount appropriated in 1972—I assume this is the same as the one I mentioned—$3.08 billion, and the comparable total for the Better Schools Act would be $2.7 billion, so that there would be roughly $220 million—no, $280 million and the bulk of that is in the part B impact aid money with these variations that I mentioned before, the library program of about $75 million and the title V provisions.

Senator Hathaway. Last year you are saying the amount appropriated and the amount spent were the same?

Mr. Weinberger. I am saying last year the amount appropriated was higher because it included more for impacted aid.

Senator Hathaway. Were the amounts last year appropriated by Congress spent by the administration?

Mr. Weinberger. Yes. We spent all the——

Senator Hathaway. $3.08 billion?

Mr. Weinberger. Yes.

Mr. Marland. If I may add, Senator Hathaway, to the Secretary's response, if you are doing the arithmetic which shows a reduction in these items, it should be added that there are significant increases in other parts of the Education Division's budget which tend to bring in a budget that is at least at the approximate level of last year, for example, there are very large increases for the National Institute of Education, large increases for postsecondary education, large increases for institutional aid to developing colleges, so that there is an offsetting effect with a net at the time of scarce resources that sustains the administration's commitment to about the present level of education altogether.

Senator Hathaway. Did you say prepare authorization for these programs——

Mr. Marland. We would have to develop that for the program. We do not have authorizations with us.

Senator Hathaway. Now the poverty level as defined in this act is really left discretionary with the Secretary, is it not?

Mr. Weinberger. I think the direction is to use these formulas, which first of all apply 1970 data, the size of the family and whether it is a rural or urban family, recognizing for the first time the differences in cost of living between these two areas.

The definition, educationally deprived children, does have an open ended definition, but the criteria that we would expect to use are the ones that I have indicated.

Senator Hathaway. On page 25 a family with an income below poverty level means a family with poverty status as determined by the Secretary——

Mr. Weinberger. On the basis of criteria prescribed——

Senator Hathaway. Or approved by him. It is wholly discretionary with the Secretary.

Mr. WEINBERGER. The language leaves it that way. The criteria we expect to use are the ones we have described. I would not object too much to some narrowing of that. As I say, what we plan to use are these criteria. I do think some flexibility is desirable, because there is a lot of work being done in this field, and it is desirable to take advantage of later technology—just as we think this Orshansky formula is somewhat more accurate or realistic than existing ones, because it takes in account different family expenditure requirements between rural and urban situations.

Senator HATHAWAY. Do I take it from what you said that if the Quie formula or modification thereof—and I am working with Mr. Quie on something along that line—were adopted, say, even in committee before anything is done with respect to this act, that you would be willing to take that in lieu of the poverty level factor?

Mr. WEINBERGER. I am not really able to make a commitment of that at this time. We certainly are working with him and we think he has some interesting ideas in connection with it. But we have negotiations underway with him. We have also indicated, and mean it, that we would be willing to discuss and consider and negotiate different formula changes throughout the bill.

But basically what we are trying to do—and there may be lot better ways to do it than our formulas—what we are trying to do is insure that the funds go to the people in areas of greatest need and that we enmass something approaching a critical mass of dollars behind the educationally disadvantaged.

Senator HATHAWAY. Would you say this is impoundment-proof legislation?

Mr. WEINBERGER. I do not know that anything is.

Senator HATHAWAY. Would all the moneys be spent, even if we raise it about 2.7?

Mr. WEINBERGER. I would not want to anticipate court decisions or executive branch requests on that subject.

Senator HATHAWAY. I take it the executive branch is willing to spend 2.7?

Mr. WEINBERGER. Yes, sir. That is clearly set forth in the budget and our presentation, and I think there is no question about that.

Senator HATHAWAY. You do not want to commit yourself to anything higher than that?

Mr. WEINBERGER. I do not feel I have authority any longer to do that.

Senator HATHAWAY. What was the basis for arriving at your impact aid formula? I agree with you by the way that the impact aid formula has to be changed. I am trying to work on it myself. It seems that the 60 percent was a figure just taken out of the air, and that there ought to be some way of actually measuring Federal impact upon different areas of the Nation, who in the B category should be reimbursed and who in some instances in the A category should be reimbursed to the extent you want to reimburse them.

Mr. OTTINA. It was not merely picked out of the air. What we were looking at was a rationale for the A child, the rationale being that he lives on Federal property and therefore the local school district cannot collect taxes to support the local schools. What we did was look at the percentage of contribution across the Nation that locals made to support of schools. It is less than 60 percent.

Mr. **Weinberger**. It is designed to substitute what would be raised by property tax, were it chargeable to people who live on a Federal base, and hence do not pay property tax.

Senator **Hathaway**. In some cases I suppose the Federal installation could actually enhance the tax base to the community by attracting more people into it, spending more money for sales taxes, et cetera?

Mr. **Weinberger**. Yes. There have been proposals in the past that recommended elimination of both category A and category B. This time the President felt category B was the proper category.

Mr. **Marland**. If you look at the total United States, the median amount which the local districts raise is about 51 percent, mostly from their local tax base. Therefore, 60 percent is consciously attended to take care of what might be variants from that median.

Mr. **Ottina**. It may be helpful to have before you a table showing how much State by State comes from local versus State, if that would be useful to you.

Senator **Hathaway**. I presume you are open to suggestion to change that formula, to make it more realistic, if it is possible for this committee to do so.

Mr. **Marland**. We are, as the Secretary has invited.

Senator **Hathaway**. How did you come to the conclusion that the only mandatory subjects are going to be basic language and math? I think you said 75 percent of the money that goes to disadvantaged would have to be spent that way? Was that the basis of——

Mr. **Weinberger**. That comes out of evaluation studies. Dr. Marland and Dr. Ottina could go into details about those, but the basic idea is that there should not be a neglect of this kind of education, of educationally deprived people, because this is the most basic thing of all.

Mr. **Marland**. The evidence of our illiteracy among disadvantaged people is very discouraging, Senator. We feel that all learning derives ultimately upon competence of language arts and in mathematics, and for these two basic subjects, not meaning to neglect the others at all——

Senator **Hathaway**. The others are left up to local discretion?

Mr. **Marland**. Yes, where the greatest bulk of the money is still, obviously. In other words, if we are paying $300 per child, as critical mass, that is on top of anywhere from $700 to $1,200 per child. New York City would be about $1,400 per child. So the add-on is merely to insure the concentration of 75 percent of these resources on those two subjects. To make sure that is done, it does not disparage history, physical education, career education, many other things that the school is doing, but we ask that these moneys, unlike the history that we have had with title I, be clearly concentrated on what we call basic skills which are substantially language arts, which include spelling, reading, writing, along with mathematics.

Senator **Hathaway**. Will you make a study available to the committee?

Mr. **Marland**. We already agreed to do that.

Senator **Hathaway**. Thank you very much.

Senator **Mondale**. Have you got any updating since that last study?

Mr. **Marland**. We have some individual records of States.

Senator **Mondale**. Can you add that?

Mr. **Marland**. We will be happy to.

[The information referred to had not been supplied when this volume went to press.]

Senator **Mondale**. As I understand it, you are asking for $270 million this year to fund the emergency school program.

Mr. **Weinberger**. $271 million; yes, sir.

Senator **Mondale**. Could you submit a table indicating where—in what communities—this money has been spent in the past, and in what amounts?

Mr. **Marland**. This is the first year.

Mr. **Ottina**. Point of clarification, you are talking about the 1973 programs?

Senator **Mondale**. The ESAP program has had a peculiar life now for about 2½ years.

Mr. **Marland**. That is a different program.

Senator **Mondale**. Yes; just tell me where the money was spent under the previous program, where it is being spent under this program, and whether it is the position of the Department to have that as a national program, and not a regional program?

Mr. **Marland**. We see it as a national program. We will be able to give you, if you wish, the distributions of ESA currently in 1973, backed up by the previous years of emergency school assistance program.

Senator **Mondale**. It is my impression that when a school is under stress because of desegregation, this funding, arriving at the right time, can be very, very helpful. I would hope that you would look at it nationally, because I think it is clearly a national problem. When districts throughout the country ask for these funds, they are making good faith effort that they in fact will get some help to fulfill their programs.

Mr. **Ottina**. Senator, the formula itself for the basic portions has a State-by-State distribution, and so that initially the applications are competing within the State.

Senator **Mondale**. Do we have those formulas in the record?

Mr. **Ottina**. We can provide them. I did not want to leave you the impression that it was one single amount of money that lid not have——

Senator **Mondale**. The program is also intended to be available for private school integration. Has any money been spent on any private schools today?

Mr. **Ottina**. None that I am aware of.

Mr. **Marland**. I am not sure we have any applications.

Senator **Mondale**. Some of the most hopeful examples are in private schools, and where they are making good faith effort, I would like to see them receive assistance. This is clearly permissible under the legislation.

Mr. **Marland**. The statutes clearly encourage this. Our guidelines encourage it.

Senator **Mondale**. I would hope that we could see some movement there. Now, one of your formulas in the distribution involves a double count for single year in the school districts which are undergoing economic integration.

Mr. Weinberger. This is designed, Senator, to try to remove any discouragement that there might be to a school that has a majority of children from the economically disadvantaged or educationally disadvantaged groups for moving to schools that do not have such a majority. It is felt that for one year, if there is an allowance to both schools, the school from which the child moves or school to which he moves, that there will be removed some existing discouragement for such a move. That is the reason for it.

I hope it is right.

Senator Mondale. Would you pay any of the moving expenses?

Mr. Weinberger. I do not think that is contemplated. We are not talking frequently with moves that require moving expenses.

Senator Mondale. If there were?

Mr. Weinberger. We have not in the education bills before got into relocation costs, and I think that would be quite a major policy decision.

Mr. Marland. There is, we feel, a disincentive toward mobility on the part of young people to have a better mix of economic and educational conditions, so long as they give them—well, may be rewarded in terms of Federal aid by the count of numbers. We are simply removing that disincentive by making it payable to both school houses that may be party to such a move.

Senator Mondale. Have you made any estimates as to how much money might be spent in this 1-year double count?

Mr. Weinberger. I have not. Mr. Ottina has.

Mr. Ottina. We have only some very preliminary estimates, which we would be happy to supply for the record.

Senator Mondale. Would you supply them, because obviously this would come from some other programs.

Mr. Ottina. Actually, Senator, it would only affect the distribution within the State.

Senator Mondale. That is right, but I mean if you have one community that does this, they will get a double count.

Mr. Ottina. You are quite right.

[The information referred to had not been supplied when this volume went to press.]

Mr. Weinberger. We think there are sufficient safeguards within the utilization of the funds by the local school district and State agency to prevent any artificial attempt to benefit from this.

There is thought to be a real disincentive and discouragement from the school itself to allow a child who is in a school with a majority of people who are educationally disadvantaged to move. We want to remove that if it is there.

I do not think anybody can guarantee that it will work. But if there is this disincentive there, it seems entirely proper to me to try to remove it and try this out for this period.

Senator Mondale. As you know, Emergency School Aid Act has a section that seeks to encourage and support this very thing. I do not know whether it is a better tool or not, but that is the idea behind it.

One final question on the budget. I addressed the National School Board Association Convention the other day, and they estimate that the budget for next year provides $295 million less for elementary and secondary schools than this year's budget. In addition, it includes a $200 million reduction in school lunch for a total reduction of $495 million in Federal spending for support of public elementary and secondary schools.

Mr. Weinberger. I am certainly not aware of any reduction in the school lunch program, Senator. There is a reduction, as we have said many times, because we are not funding the category "B" impacted aid program, so there is no question that there is a reduction there, but we think it is a justified and a sound reduction. I am not aware of any other, except the ones that we mentioned a moment ago, the so-called strengthening of State superintendents and $75 million for the library subsidy.

Senator Mondale. How much did we spend or will we spend in the current fiscal year for all public school expenditures under OE?

Mr. Weinberger. Mr. Marland.

Mr. Marland. All expenditures under OE, including higher education?

Senator Mondale. Public elementary and secondary——

Mr. Ottina. Was the figure you quoted $275 million?

Senator Mondale. $295 million.

Mr. Weinberger. The figure I had a moment ago was without that, and keeping the impacted aid and other things, the figure would be $3.084 billion. The great bulk of that is impacted aid money.

Mr. Ottina. I can describe for you where the $275 million difference might come from, if that would be helpful to you.

The comparison here is between the $2.771 billion and the President's budget. One hundred and twenty-two million would come from SAFA "B".

Senator Mondale. That is impact aid?

Mr. Ottina. Approximately $24 million would come from hardship provisions of the impacted aid. Ninety million would come from title II, $38 million would come from title V, and $1.5 million would come from NDEA title III. That would amount to approximately $276 million in total. That might be a comparison that someone was trying to provide for you, sir.

Senator Mondale. What about the National School Board which said you are cutting $2 million out of school lunch?

Mr. Marland. I think what they may be referring to is a proposal in this budget that the school lunch allowance not relating to poor children, but to all children, at about 8 cents per child no longer be categorically established under the Department of Agriculture, but that it be used as a part of the resources for general support of education.

Mr. Weinberger. It is not being reduced. It is being freed of a requirement that it be spent for lunches on all pupils regardless of income.

Senator Mondale. How do you feel about the question of the productions that stem from inflation? Do you take a guess at 5-percent inflation this year, say you hold the line, that is almost $150 million cut in the value of dollars being spent on elementary and secondary schools——

Mr. Weinberger. There is a very substantial saving that will occur to local school districts if they do not have to raise matching funds, if they do not have to employ the people to make applications and to revise them, and if they do not have to wait for the money. The present value of the money and the elimination of all these nonproductive expenditures required under the 32 narrow categories would go quite a ways, I think, toward covering that.

Senator **Mondale.** We have been told that one of the reasons the defense budget is rising so rapidly is that we have to adjust for inflation.

Mr. **Weinberger.** Adjustment for inflation in the defense budget is a very specific visible thing. That is because of salary increases, they have gone up so rapidly, which is the price of all-volunteer armed forces, which is the price of eliminating a lot of the dissension and turmoil in the country when we had the draft. That is eliminated now, and it does mean that 57 percent of the defense budget is going for payroll, which is a great deal more than goes for payroll in other countries, so that we are not getting as much defense activity or strength, but we are getting a lot higher-salaried Army, Navy, and Air Force.

Senator **Mondale.** Thank you, Mr. Chairman.

Senator **Pell.** Thank you very much.

I found, as you know, the short title you selected for your bill a little disturbing. I noticed that the budget for elementary and secondary education is less than that which was appropriated by Congress for fiscal year 1973. Now do you think that the reduction in appropriation under revenue sharing is going to produce better education, better schools?

Mr. **Weinberger.** It will be spent for education, Senator, not for applications, not for grantsmanship, not for waiting, not for Federal Government people going through a lot of useless review exercises and revisions.

I think you would get more for your money from the point of view of education than you do now, because you would eliminate a lot of noneducational requirements that are inherent in the 32 programs that we now confront.

Senator **Pell.** This may have come out during one of the moments when I was away, but what percentage of the President's categorical programs, or the dollars spent in them, are spent in grantsmanship and paperwork?

Mr. **Weinberger.** I suppose it is hard to quantify precisely. Maybe Mr. Marland and Mr. Ottina have a guess. I have a guess.

Mr. **Marland.** First, we have calculated literally thousands of man-years——

Senator **Pell.** You have got millions of man-years available.

Mr. **Marland.** There are man-years in all levels of government, Federal, State, and local, and the percentage I would guess—this would have to be a guess—would be somewhere between 5 and 7 percent of the cost because they are by and large high-salaried people, doing this managerial administrative type of work, at whatever level superimposed upon the system because of our many categorical programs.

Maybe John has a closer guess.

Mr. **Ottina.** I would agree with that.

Senator **Pell.** Historically, you know, Congress has used category aid programs to highlight areas of specific need. This I guess has been particularly the case in connection with the disadvantaged and handicapped. Now there are those who contend that the efforts of our school system in these two areas would not have occurred without encouragement of the Federal Government.

Do you think under your bill without the incentive that the Federal Government has, using the categorical approach, that these two groups, the disadvantaged and handicapped, who are very weak from the point of political muscle with the local governments, mayors, and even with the Governors, that they will continue to get the same kind of treatment they receive under the categorical approach.

Mr. Weinberger. Yes. I do not have any doubt about it, Senator, because the bill says that they still have to. The bill does not get into general revenue sharing. The bill says that you would have to have the great bulk of these funds used for the disadvantaged and the same amount that is used for the handicapped and for vocational education. So that you would not have any elimination of the Federal Government's interest and concentration on those fields of concern.

You would, however, have I think a far more effective means of distributing and utilizing the funds because you eliminate all this wastage that goes with the application forms and the grantsmanship and everything else we have been mentioning this afternoon.

Senator Pell. How would you monitor these programs to make sure they are really being used

Mr. Weinberger. In the same way we monitor other programs, the same way we monitor for civil rights enforcement and all the rest. We would have, as I mentioned before, the idea that first of all we have a great many remedies that are set forth in the bill. We can withhold. We can sue to get refunds. We can take out against future advances the sums that are found to be improperly spent.

We would certainly have an audit procedure. We would have a great deal of reliance on the State's own audit procedure, because it is very much to the State's advantage to make sure that it is being spent in accordance with Federal law, and any violations would be of course very rigorously dealt with under the very adequate remedies of the bill.

Actually it is more enforceable because there are fewer Federal steps to monitor.

Mr. Marland. I would add, Senator, if I may, we would see the role of the Office of Education as moving—as the Secretary said earlier—much more strongly in the direction of technical assistance to preclude the likelihood of errors being made or misinterpretations of the law being permitted and therefore resulting in audits and other exceptions that are always difficult, but rather the outreach of the Office of Education providing technical assistance before trouble started would be one of our major intentions.

Senator Pell. We have some other questions that will be submitted to be answered for the record. The record will be kept open. Senator Williams has two specific questions. Senator Randolph has questions, and maybe more of my colleagues will have more questions and those will be submitted as we move along.

Do you have any reactions as of now to the education bill, general education bill, that I introduced which included a variety, S. 1539——

Mr. Weinberger. We have not had the time to analyze it, Senator, with the care it deserves, so I would hesitate to make comments on it at this time.

Senator **Pell**. There are some ideas really put in for discussion purposes and some which we believe very intensely and we think we would want to get that also into the public ball park.

Mr. **Weinberger**. Right.

Senator **Pell**. We do want to be sure to give you a fair hearing. I think you will agree that we gave a fair hearing a year and a half ago, and maybe as you say this time it will fly, but we will give it the hearing, even if we as members of the committee are not sold on the approach.

I guess we really suffer philosophically from the fact that if we raise the funds we really have a responsibility to follow those nickels and dimes right down and make sure they are really being spent the way we want them spent.

Mr. **Weinberger**. I do not think there is anything in the bill which precludes that at all. I think what we have tried to devise here is a more effective means of emphasizing the Federal Government's interest in these five broad areas. We believe we have accomplished that.

But we certainly would not be interested in a situation in which States or school districts are encouraged to spend the money for purposes not set out in the bill.

Senator **Pell**. I think perhaps you are more trusting than we are.

Mr. **Weinberger**. No; we just have the knowledge of our ability to enforce it. That is all.

Senator **Pell**. Thank you for your views very much indeed.

Mr. **Weinberger**. Thank you.

[Additional information supplied for the record follows:]

BOCES / *Ulster County*

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May 31, 1973

U.S. Senator Jacob K. Javits
Senate Office Building
Washington, D. C. 20510

REF: Special Education Revenue Sharing S. 1319

Dear Senator Javits:

I have recently received a summary of the above bill and have reviewed it in the light of its application in our community and the State. The indiscriminate use of vocational funds by elementary and secondary schools (irrespective of the clause concerning disadvantaged and handicapped) is indicative of the outmoded "shotgun" approach. This segment, that is the handicapped, are being serviced now. In fact, we are opening another new program for mentally retarded in September. We hope to prepare them for employment.

Further, our placement of students having completed a trade sequence has averaged better than 90% with at least 75% entering the occupation for which they were trained.

We in New York State are rolling along very well and we can see no reason why federal vocational funds should be made available without categorical restrictions. We have a job to do and we are doing it well. Let's not do a mediocre job for everybody, but rather continue the excellent job for as many as we can. Other means such as continuing education, remedial education, re-training, etc., can be implemented to correct our past mistakes. In the meantime, let us continue the preventative program which is working so well.

Please excuse the length of this letter, however, I feel an explanation is in order. Thank you for your continuing interest in our program.

Yours truly,

Michael M. Aronica
lc

Michael M. Aronica
Director of Vocational
Education

MMA:lc

Senator PELL. The committee is recessed subject to the call of the Chair.

[Whereupon at 4:40 p.m., the subcommittee was recessed subject to the call of the Chair.]